UNIVERSITY CULTURE AND PEDAGOGICAL INNOVATION: EXPERIENCES AND PERCEPTIONS OF ACCOUNTING AND MANAGEMENT ACADEMICS IN THREE SCOTTISH UNIVERSITIES

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ABSTRACT

This thesis examines pedagogical innovation within Scottish university business schools and the influence of university culture in supporting or inhibiting this category of innovation. Innovations in pedagogy are often requested by students, required by national policy-making bodies and sponsored by agencies that are both external and internal to education. Yet the reported incidences of where, how and to what extent this category of innovation is being used with Scottish university business schools are relatively sparse within the extant literature. Self- and peer-assessment are selected as forms of pedagogical innovation partly because of the role assessment plays in the learner process and in addressing standards of stakeholder bodies.

Using a reconceptualised model adapted and extended from the literature, the research explores the influence of university culture in supporting and inhibiting academics innovating with self- and peer-assessment. Deploying a multi-method data collection approach, the data from three contrasting Scottish university sources are analysed and synthesised to assess the nature of this influence.

The findings from the study suggest modest levels of utilisation of self- and peer-assessment practice across Scottish University business schools and indicate patterns of adoption and areas for further development. In addition, the findings suggest that organisational culture within a university setting can be measured to portray a cultural typology and profile. However, the resultant cultural profiles extracted from the application of this multi-method approach are complex and proved hard to characterise in a definitive and clear-cut way as to the extent to which these university cultures directly inhibit rather than promote pedagogical innovations such as self- and peer-assessment.

The thesis contributes towards the policy-practice debate surrounding pedagogical innovation in Scottish university business schools and UK higher education more generally and provides a number of considerations and implications for government, institutional policy makers, university lecturers and researchers.

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Finally, to my students past and present. Research should not be perceived as hobby for the academic but a mechanism to acquire certain life skills and knowledge that bring with them new meanings, enlightenment, wisdom and ultimately consolation.

DEDICATION

This thesis is dedicated to family, especially Liz, Rebecca and Stephanie as some small compensation for the many hours I neglected them whilst undertaking this self-indulgent challenge; to Christopher, for what could have been; to my parents Vincent Richard Barr and my mother Frances Barr for my start in life. To John McLeman who encouraged me in embracing learning within higher education. Thank You Most Deeply. A few have climbed Everest: - this was mine.

AUTHOR'S DECLARATION

I hereby declare that the work herein is the result of my own investigations and all references to the ideas and work of other authors and researchers have been duly acknowledged. I certify the work embodied in this thesis has not been submitted for any other degree or professional qualification except as specified.

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CHAPTER 1: INTRODUCTION

1.1 Organisational Culture in Universities

This thesis is about organisational culture within the university setting. The research assesses in particular the nature of the relationship between university culture and pedagogical innovation by exploring the factors which influence levels and occurrences of pedagogical innovation in two cognate subject areas within this setting. The term pedagogy is often associated with the science of teaching but for the purpose of this thesis the expression adopts a broader stance to include the areas of learning, teaching and assessment (L, T & A). The term innovation is generally associated with the act of introducing something as new. However a more comprehensive description and analysis of this concept will be addressed in chapter Two. The purpose of the thesis therefore is to contribute towards the policy-practice debate surrounding pedagogical innovation in higher education. This chapter sets out the rationale, parameters, aim and objectives for the thesis as a whole.

1.2 Background to the Research

Contemporary interest in the prominent role which the construct organisational culture plays in shaping organisational life, reflects earlier attempts by organisational sociologist in the 1980s to understand the fundamental nature, performance and management of organisations (Ouchi and Wilkins, 1985). Notions of culture at this time mainly referred to business and industrial organisations and were commonly conceptualised as a shared way of thinking resulting in shared behaviour patterns (Saffold, 1988). Organisation culture analysis during this time adopted a nomothetic stance rather than look for intricacies of meaning. Notions of a strong culture based on a regime of shared beliefs and values contrasted with those of a weak culture typically characterised by weak leadership and an array of subcultures (Smart and St. John, 1996). In the same way as conceptions of organisational culture developed within these business and industrial settings, discussions of organisational culture within higher education also focused on the aspect of shared values as a framework for investigation. It was also broadly assumed that analytical approaches adopted for the study of organisational culture within industry and commerce were readily transferable to an education setting (Silver, 2003).

In the present study, the lens used to evaluate innovation difference across cognate areas and university cultural types will consist of a number of innovation dimensions which support/inhibit pedagogical innovation in higher education. The thesis will comment upon the implications of the findings from the research for a number of stakeholders including policy makers and practitioners in higher education.

Universities are distinctive organisations having their own set of characteristics which determine their culture (Sporn, 1996). They are heterogeneous communities with multiple objectives to achieve in respect of teaching, research, community engagement, quality and internationalisation to mention a few (Bryan and Clegg, 2006). As Dill (1982), Becher (1989) and others have commented, universities are among the most complex organisations to study.

A number of interrelated initiatives resulting from the removal of the binary divide in 1992 - such as income generation as a key objective for many institutions - marked a high point in UK higher education history when, at the same time, the number of universities in the UK more than doubled. This change encouraged growth in the range of academic degrees on offer, such as TV Script Writing or Fashion Marketing for example, increasing the number of students making application for university places. In addition to new cognate areas and courses these new universities also brought their own organisational cultures in terms of organisational working practices, values and strategic foci which were founded upon a number of assumptions that academics had invented, discovered, or developed and which they operationalised in order to carry out their work. Some were perceived as developing a strong Managerial culture (Silver, 2003); others indicated a strong Collegiate culture, whilst a number pointed towards a strong Developmental or Negotiating culture (Trowler, 2008). At the same time these collective changes were accompanied by a significant reduction in government funding per student (Gibbs, 2006; NCIHE, 1997) with particular consequences for academic workloads in teaching and assessment.

In a similar way to commercial businesses, higher education contemporaneously exists in a changing, dynamic and complex environment where, in the latter's case,

the pursuit of pedagogical innovation is seen as central for survival and growth. In these circumstances it is helpful for a number of stakeholders, including educational policy makers, university senior management and educational developers, to know which university cultural types can successfully support and leverage innovative pedagogical behaviour and other desired outcomes. Equally important to these groups is knowing what range of factors inhibits pedagogical innovation and assessing the implications arising from these, despite the inherent difficulties in defining and specifying reliable measures of success or failure. Overall, these changes presented an opportunity for reflection on current practices in teaching, learning and assessment with the chance for innovation and change. However, research into organisational culture and the management of this within higher education has been relatively sparse and recognised by only a few authors (Silver, 2003). Foremost in the area of research is the study of dissonance between attitudes, values, beliefs and basic assumptions on the one hand, and academic practice on the other and understanding the role which university culture has on these (Clarke, 1972; Dill, 1982; Sporn, 1996; Silver, 2003; Tierney, 1988). The literature suggests little account has traditionally been taken of the difference between espoused theories and theories in use with regard to university culture and pedagogical innovation (Aiman-Smith, 2004; Smart & St. John, 1996; Van Vught, 1989). Consequently the multidimensional aspects of organisational culture and the significance of its impact upon university employee behaviour, perceptions and experiences of innovation and performance, are worthy of investigation and will be addressed throughout this thesis.

1.3 University Culture and Pedagogical Innovation

There is some agreement that organisational culture influences university life, broadly defined (Trowler, 2008; Becher and Trowler, 1989). Where there is less consensus, however, and thereby informs the central focus for this thesis, is the way organisational culture in universities functions in supporting/inhibiting academics in areas of pedagogy and specifically in the area of pedagogical innovation. This research will adopt one of the theoretical conceptualisation frames in order to undertake this critical assessment of organisational culture within a university setting. A number of dimensions of innovation will be evaluated in order to establish

key support and inhibitor elements for this pedagogy context. The thesis will adopt a theoretical cultural framework and these innovative dimensions to explore differences in pedagogical innovation across university types represented by two Business School cognate areas.

1.4 Pedagogical Innovation

Innovations in learning, teaching and assessment are often requested by students, required by national policy-making bodies and sponsored by agencies that are both external and internal to education. Although the emergence of educational innovative practice might previously have been the creation of inspired individuals, more recently it has become "guided" and "directed" (Hannan and Silver, 2000:6) towards specific strategies and outcomes by institutional or government sponsored policies and funding. One such manifestation of this guidance and direction was the Government Green Paper of 1985 which brought 'quality in teaching' and 'staff appraisal' onto the agenda, hence innovation in learning and teaching became more government led (Silver, 1998). In the UK targeted innovation initiatives can also be found in the Teaching and Learning Technology Programme (TLTP), the Fund for the Development of Learning and Teaching (FDTL) and The Computers in Teaching Initiative (CTI). The TLTP programme for example had the specific remit:- "To produce innovative information products that are freely available to institutions of higher education in the UK."[1] Within the Scottish context one example of a nationally sponsored initiative was the *Enhancement Themes*, originally conceived to support universities in Scotland in "managing the quality of the student learning experience and to provide public confidence in the quality and standards of higher education"[2]

In the UK at large, another and more far reaching L, T & A initiative was The National Committee of Inquiry into Higher Education (NCIHE, Dearing Committee, 1997). The Committee indicated that a national policy to stimulate innovation in teaching and learning was desirable and stressed the need for innovative responses to the new challenges facing higher education. These challenges included lifelong

[1] http://www.ukoln.ac.uk/services/elib/papers/other/jisc-tltp/jisc.pdf Last accessed 28 November, 2008
[2] http://www.enhancementthemes.ac.uk/background/default.asp

learning, increased student numbers and students from diverse backgrounds and the introduction of student fees (Trowler, 2008) whilst also fulfilling additional pressures from employability and citizenship (Bryan and Clegg, 2006). Innovation was defined by the committee as "...going beyond the usual and engaging in an imaginative leap" (NCIHE, 1997[3]). In addition, the Committee invited academics to be more reflective of their teaching methods and expressed the desire for a national policy to stimulate innovations in teaching, learning and assessment.

At a university level, innovation is often explicitly formulated within formally constituted and documented policies, guidelines and priorities (Hannan and Silver, 2000). However the intentions and meanings ascribed to these have in some cases arguably resulted in ambiguous interpretations. Furthermore, the way each university supports and operationalises these policies, guidelines and priorities will shape the type and level of innovative activity (Trowler, 2008). Consequently, opportunities for academics to innovate or diversify outside these policies and guidelines can be curtailed (Hannan and Silver, 2000) and even discouraged.

Silver (1998) is one of a few authors offering a concise typology of innovation within higher education which he argues consists of, firstly, organisation and management (to include for example structures, semesterisation or committees and appointments) and secondly, curriculum issues including new modules or courses and finally learning, teaching and assessment - broadly referred to as pedagogical innovation. It is the last of these – pedagogical innovation - which this thesis is concerned with, whilst acknowledging that innovations across learning, teaching and assessment are not completely isolated from the other two.

In a study of 15 UK universities across 12 broad cognate areas, Hannan *et al.* (2000) found that only 13 of the 221 interviews undertaken were located within the area of Business and Management[4] education. As will be discussed in the next section and become more apparent in Chapter Two, assessment in higher education remains one area where academics have been slow to effect change (Hannan *et al.*, 2000) or have

[3] http://www.leeds.ac.uk/educol/ncihe/sr_008.htm

[4] The heading Business and Management can cover a large spectrum of cognate areas including Accountancy and General Management. For a complete listing see the BMAF website:- http://www.heacademy.ac.uk/business/ourwork/ourservices

been minimally affected by new developments, even though advantages associated with these (see for example Boud, 1992, 1995, 2006; Falchikov, 1995; Falchikov, and Goldfinch, 2000; Fry, 1990; Hounsell *et al.*, 1996) have been well documented over the last two decades.

1.5 Innovation in Assessment

The choice of assessment methods and instruments within universities is devolved to departments through course and programme teams; thus the range, types, mix of methods and instruments can vary across schools, subject areas and courses. Although this devolution offers academics the opportunity to adopt a variety of assessment systems, the scale of uptake is not clear. For example, Hounsell and Hounsell (2008), reporting on discipline-specific publications on assessing students, cite 21 instances within the areas of Business, Management, Accounting and Finance – yet these cognate areas account for 13.3% of all university student numbers (HESA, 2007). This evidence contrasts with others suggesting that innovation within assessment is still a minority practice within higher education. Race (2001) for example contends that "Something like 90% of a typical university degree depends on unseen time-constrained written examinations, and tutor-marked essays and/or reports" (Race, 2001:7 cited in Elton and Johnson, 2002). However in making this proposition, Race (2001) fails to supply supporting evidence for it, which may raise questions as to the reliability of this claim. Changes in assessment practices have also been claimed to be sluggish with reported innovative approaches having failed to become established norms in any sustainable sense (Bryan and Clegg, 2006; Falchikov, 1995). Furthermore, much current assessment practice and the management thereof have also been condemned by some critics for an "abiding amateurishness" (Elton and Johnson, 2002:20). Therefore, while the overall picture of innovative assessment practice within the broad area of business education seems far from clear, it holds significant potential for greater development. Clearly then, pedagogical innovation in assessment is an area worthy of further research and will form the focus of the next section.

1.6 Self- and Peer-Assessment as Pedagogical Innovation

Pedagogical innovation can take many forms, ranging from changing what lecturers do, to what students learn, and will be contingent upon institutional policies, systems, structures and procedures (Hannan *et al.,* 1997). Innovations in assessment are well documented within a range of journals, yearbooks and compendia as illustrated by the directory of Assessment Strategies in Scottish Higher Education (ASSHE Inventory, Hounsell *et al.,* 1996; Hounsell *et al.,* 2007). Although many entries explicitly outline or imply new ways of assessing students, including groupwork, teamwork and technology based assessment, the number of cases reporting users' experiences and perceptions of student self- and peer-assessment within a business context remains modest. Furthermore, any thorough review of the literature reveals a paucity of reported cases on the influence of university culture in supporting or inhibiting pedagogical innovation.

Forms of pedagogical innovation such as self- and peer-assessment are deemed to encourage certain graduate skills necessary for employment and life-long learning (Sambell and McDowell, 1997; Dochy *et al.,* 1999), yet the adoption of these techniques by business studies academics as a means of developing these skills within their students appears sparse within Scottish universities (Kaye and Hawkridge, 2003). The adoption of self- and peer-assessment as alternatives to more traditional forms of assessment may be acknowledged by some Business School academics as one way of introducing variety into assessment methods, and where new to the implementer could be reasonably defined therefore as innovative. They are complementary forms of assessment which are used to develop student skills of self-reflection and evaluation, whilst simultaneously learning to provide feedback to peers. They are approaches designed to facilitate the development of a deep approach to learning – a core aspiration for student learning (Boud, 1995; Gregory *et al.,* 2003).

For this thesis therefore, self- and peer-assessment have been chosen as an instance of pedagogical innovation on the basis that they are a manageable subset of the range of learning, teaching and assessment activities. They represent forms of innovative

practice with modest uptake, thereby making them worthy of further research, and one which the researcher has some experience and a particular interest in.

1.7 Research Aim, Objectives and Questions

Against this background, outlined in sections 1.1 - 1.6, the research questions being raised in this study centre upon investigating the extent to which university culture supports or inhibits pedagogical innovation. The questions explore whether there is a unified set of values, ideas, customs, beliefs or norms which together shape a cultural identity for an institution or department and whether this/these culture(s) influence academics' inclination to undertake pedagogical innovation such as self- and peer-assessment.

The thesis also sets out to comment upon the current incidence and threshold of self- and peer-assessment as an example of pedagogical innovation by investigating firstly, trends and usage patterns of self- and peer-assessment within Scottish universities; secondly, academics' experiences and perceptions of these techniques; finally, how and in what circumstances pedagogical innovations like that of self- and peer-assessment may be successful within a university cultural context. The findings to these questions will add to the general corpus of knowledge of pedagogical innovation and organisational cultures within higher education. Furthermore, it will also be of specific interest to government and institutional policy makers and university teachers and researchers alike. The research questions form the basis for the research objectives that have to be addressed by the research strategy. Thus the following research questions were developed, which are summarised below and explored more fully in Chapter THREE:-

Research Question 1 What range of student self-and peer-assessment systems are being/have been adopted by accounting and management academics within the university sector of higher education?

Research Question 2 What influences (supports/inhibits) accounting and management academics to introduce pedagogical innovation such as self- and peer-assessment?

Research Question 3 Deploying a conceptual adaptation of Schein's (1984) model and taking account of more recent developments in the literature, do university cultural factors influence pedagogical innovation?

1.8 Chapter Structure

In pursuit of the solutions for these research problems, chapter two explores the literature in order to provide a background on the key themes of the thesis, to provide a critical interpretation and evaluation of published work in the areas and to clarify and synthesise the range of perspectives and ideas from theory and others' empirical work. Finally the review illuminates the central constructs of organisational culture and pedagogical innovation justifying the research and leads to the creation of the research questions for the author's empirical work. This review includes a critical analysis of the relevancy and significance of university culture on academics' pedagogical innovation and offers comment upon how this influences academics' propensity to innovate in pedagogical areas such as self- and peer-assessment. A series of research questions are formulated following the critical analysis of the literature.

Chapter three discusses the research strategy devised in order to address the emergent research questions. It offers explanations and argument supporting the methodology adopted and justifies the specific research tools employed within the research design. The chapter firstly describes and justifies the research paradigm adopted by the researcher within which the empirical research is conducted (section 3.2). Secondly, it delineates the research strategy – both inductive and deductive (section 3.3). Finally the chapter further discusses and finalises the research aim, objectives and research questions (section 3.2).

Chapter four presents and analyses primary data collected from firstly an e-survey questionnaire on incidences and threshold usage of self- and peer-assessment; secondly the manual questionnaires, interviews and artefacts in support of university cultural analysis. It identifies and presents patterns of results and assesses them for their relevance to the research proposition and questions set out in chapter 1 and 2.

Chapter five discusses the findings in the light of the literature and formulated research questions and identifies the contribution to knowledge thereby closing the theoretical gaps identified within the critical literature review.

Chapter six summarises the main argument and key findings from the two phases of the empirical study and frames the conclusions in the context of the central aim of the research. A number of recommendations and qualifications are offered which may inform theory, practice and policy. Finally the chapter highlights limitations and caveats in conjunction with areas for future exploration on the subject of self-and peer-assessment and university culture in promoting pedagogical innovation.

1.9 Delimitations of scope, key assumptions, and their justifications

Given the situation described in sections 1.1 and 1.3, this thesis necessarily focused on three contrasting types of university defined as Ancient[5], Civic and Modern as representative of the university sector in Scotland and their contrasting categories. The researcher also assumed that the individuals interviewed within each institution, a representative of senior management, a group of accounting academics, a group of management academics and a group of support staff (broadly defined) were broadly representative of their constituencies.

1.10 Chapter Summary

This chapter has highlighted the role of organisational culture in universities and outlined the role of organisational culture as an important yet under-researched factor when considering concepts such as pedagogical innovation making them worthy areas of research.

[5] Ancient - meaning Universities founded pre 20th Century; Civic - meaning Universities founded 20th Century and pre-1992; Modern – meaning Universities founded 20th Century and post 1992.

CHAPTER 2:

LITERATURE REVIEW

2.1 Introduction

This chapter will critically evaluate the range of perspectives from theorists, practitioners and researchers in the areas of organisational culture and innovation, assessing their theoretical and practical contributions relevant to an understanding of pedagogical innovation within a university context using self- and peer-assessment as an example of the latter. The aim of this chapter is to build a knowledge base of existing works and approaches in the three main strands of theoretical focus and from these insights develop a theoretical framework for the study of the research questions. These strands are: *organisational culture* (section 2.2) and its relevance in a university academic context (section 2.11) utilising anthropological and sociological perspectives; *innovation* theory (section 2.10) as it relates to pedagogy within higher education (section 2.12); and *self- and peer-assessment* as an example of pedagogical innovation (section 2.12.4). Finally, the chapter considers the extent to which core dimensions of organisational culture can influence academics' propensity to undertake pedagogical innovations (section 2.13) such as student self- and peer-assessment practices, and considers the implications of this for policy makers and practitioners in higher education.

2.2 The Case for Culture

There has been a long-standing interest in organisations, how they work and what factors impact upon their productivity and profitability (Brown, 1995; Cameron and Freeman, 1991; Deshpande *et al.*, 1993; Peters and Waterman, 1982; Siehl and Martin (1990). This interest intensified and became more focused on organisational culture with the rise in economic prosperity of Japan and the other Pacific Rim countries who demonstrated the impact that different organisational cultures can have on productivity and profitability (Frost *et al.*, 1985). These developments strengthened claims that culture, not strategy or structure, was the determining factor in delivering competitive advantage (Deal and Kennedy, 1982; Ouchi, 1981; Peters and Waterman, 1982; Hofstede, 1980; Schein 1984, 1985 and Alvesson, 2002). For example, Ouchi and Wilkins maintained:

> Few readers would disagree that the study of organizational culture has become one of the major domains of organizational research, and some might

> even argue that it has become the single most active arena... Ouchi and Wilkins (1985:457-458)

Thus, organisational culture had become a focus worthy of substantial examination for research both within the management practitioner and as will be argued subsequently, academic communities. This accrued body of research resulted in a distinctive and substantial discourse comprising a range of perspectives, constructs, and theories which contributed towards a more comprehensive understanding of culture within business organisations and provides critical theoretical underpinning for this thesis.

Organisational culture has been defined as "shared perceptions of organisational work practices within organisational units which may differ from other organisational units" (Van den Berg and Wilderom, 2004:571). Organisational culture has been claimed to impact upon employee performance and effectiveness, (Robertson *et al.*, 2002), loyalty, satisfaction and trust (Ashford and Mael, 1989) and employee stress levels (Barney and Griffin, 1992). Where these work practices are perceived as contradicting the espoused practices advocated by management, tension can result and employee effort can be redirected towards those activities where they perceive the greatest rewards being achieved (Smart and St. John, 1996).

The case for investigating culture as a contributing variable towards organisational change and innovation was made by several researchers including Cameron and Freeman, (1991) and Tichy (1982), and was supported by Deal and Kennedy (1982) who argued that culture was the key determinant in organisations and had the capacity to reform business practices and promote or inhibit innovation. These authors articulated the case for a strong connection between the power of organisation culture and its capacity to stimulate innovative behaviour. However, they did not comment on how strong this relationship should be to achieve this behaviour, nor comment upon the scale of the change likely to occur. Several authors also made the case that when fully realised, these reformed business practices yield unparalleled levels of productivity and profitability (Sadri and Lees, 2001; Denison and Mishra, 1995; Gordon and DiTomaso, 1992). Similarly, Handy maintained that organisational culture "profoundly affects atmosphere, morale,

communications, efficiency, adaptiveness and innovativeness within an institution" (Handy 1976:177)

While these claims were made for the effective power of organisational culture on business performance, they offered little clarity or insight into what terms like "fully realised" or "unparalleled levels" mean in terms of innovation in a practical sense. This point underpins the core of this thesis by exploring the relationship between university culture and pedagogical innovation. These issues are expanded upon in the next sections.

2.2.1 Meaning of Organisational Culture

Although the concept of "culture" is borrowed from the cognate area of anthropology, there is no universal agreement on its meaning (Smircich, 1983). The concept had been linked with the organisation through sociology and social psychology rooted in the notion of social order and an interest in how experiences and patterns of behaviour of individuals are explained (Van den Berg and Wilderom, 2004). In spite of this limitation, discussions reviewing the theoretical foundations and conceptual boundaries of the term organisational culture are well documented (Harrison, 1972; Geertz, 1973; Deal and Kennedy, 1982; Schein, 1984, 1985; Cameron and Ettington, 1988; Denison, 1990; Martin, 1992; Alvesson, 2002). In an early review of the literature, Kroeber and Kluckhohn (1952) identified 164 definitions of culture (cited in: Allaire and Firsirotu, 1984; and Detert *et al.,* 2000), a position suggesting inexactitude and indeterminacy. Questions arising from these early discussions on organisational culture centred upon *definitional precision* (Kroeber and Kluckhohn, 1952), *measurement* (Cameron, 1991) *type and strength* (Denison, 1990; Peters and Waterman, 1982; Deal and Kennedy, 1982; Smart and St. John, 1996) and *orientation* (Cameron and Quinn, 1999). Type and strength in this context was a reference to how cultures can support or hinder strategic management objectives and indicate a high degree of congruence between strategic plans, structural arrangements and cultural values. Orientation referred to the focus (internal or external) of the values, attitudes, beliefs and patterns of behaviours that members express. An externally focused culture demanded more adaptability to external challenges, with less emphasis on bureaucracy and internal dynamics

(Sporn, 1996). Aiman-Smith (2004) presents a rationalist perspective of culture derived from the anthropological cognate area as shown in Table 2.1.

Table 2.1: Rationalist perspective of organisational culture (adapted from Aiman-Smith, 2004)

PERSPECTIVE	MEANING OF CULTURE
Historical	social heritage/traditions passed between generations
Behavioural	Learned behaviour reflected in a lifestyle
Normative	a set of rules, ideals or values by which to live
Functional	an approach to resolving issues in an attempt to living in harmony with each other
Mental	as a set of ideas or acquired habits for social control
Structural	as an arrangement of interrelated ideas, symbols or behaviours
Symbolic	as randomly assigned meanings adopted and shared by members of an organisation

This conceptualisation of culture draws on the earlier work of Jaques (1952) who proposed that:

> The culture of the factory is its customary and traditional ways of doing things, which is shared to a greater or lesser degree by all its members and which new members must learn, and at least partially accept, in order to be accepted into service in the firm. (Jaques, 1952:251)

Thus for Jacques, employees embrace cultural practices (passed-on, learned, acquired or shared, in the view of Aiman-Smith, 2004) into organisation structures, a view supported by Deal and Kennedy (1982). This proposition is contrasted with the views of Pettigrew (1979) who introduced the notions of 'purpose and intention' into the debate stating that:

> Culture is the system of publicly and collectively accepted meanings operating for a given group at a given time. This system of terms, forms, categories and images interprets a people's own situation to themselves (Pettigrew, 1979:574)

For Jaques (1952) the emphasis is on the historical, behavioural and functional aspects of culture whilst for Pettigrew (1979) the structural and symbolic dimensions indicate a distinctively *people* quality. Although anthropologists have difficulty reaching agreement on a definition of culture, other disciplinary scholars such as

O'Reilly *et al.*,(1991) argue there is substantial overall agreement on a definition of organisational culture and conclude that it is: "a set of cognitions shared by members of a social unit" (O'Reilly *et al.*, 1991:491). Van Maanen (1988) had earlier introduced the role of cognitions or knowledge, and their subjective interpretation and manifestation:

> Culture refers to the knowledge members of a given group are thought to more or less share, knowledge of the sort that is said to inform, embed, shape, and account for the routine and not-so-routine activities of the members of the culture... A culture is expressed (or constituted) only through the actions and words of its members and must be interpreted by, not given to, a fieldworker. (Van Maanen, 1988:3)

These definitions of culture highlight a number of points worthy of clarification which help minimise the complexity and identify some aspects of determinacy within the discourse. Firstly, the notion that culture is a shared phenomenon learned through experience and is established in groups of members with a significant history (Wilkins and Ouchi, 1983). Secondly, the concept of a *group(s) of members* implies a single (core) organisation culture may not exist as a unitary phenomenon. Whether as a singular or multiple phenomenon, organisational culture incorporates the notion of shared values and beliefs which themselves underpin norms of behaviour. Thirdly, these values, beliefs, and norms thus become a basis for identifying and diagnosing the organisational culture (Brown, 1995; Cameron and Quinn, 1999).

The prevailing view among this broad range of authoritative sources, suggests organisational culture exists at one of two levels – one, the visible level and two, the deeper, underlying level (Alvesson, 2002; Barley, 1983). At the visible level, practices include a wide range of cultural forms including behaviour patterns (e.g. rituals), language (e.g. stories and documents) and objects such as furnishings. Collectively, these three groups are referred to as artefacts and individually or collectively help members to shape meaning and make sense of their organisation (Smircich, 1983). Within this perspective, culture is viewed as a narrative of symbolic discourse that requires researchers to decipher the nature and form of that culture. Symbolic forms of cultures have been substantially researched using

semiotic analysis techniques[8] (see for example Barley, 1983; Dandridge *et al.*, 1980; Alvesson, 1991).

Beneath the visible layer lies the deeper, invisible level of cultural analysis which refers to the study of group values. These govern and shape acceptable behaviour patterns and norms for socially desirable codes of conduct (Schein, 1984) though they vary between organisations and between groups within the same organisation depending upon the beliefs of individuals regarding reward and punishment (Berg and Ostergren, 1979; Van Vught, 1989; Silver, 2003). Organisations leave traces of their values in documents such as mission statements which are transmitted to group members at the visible (artefact) level through the use of symbols, ceremonies, or myths (Ouchi, 1981). However, Schein (1985) drawing on the work of Argyris and Schön (1978), contends that if these beliefs and values fail to be grounded in prior organisational learning, they are considered espoused beliefs and values, as they predict what people will say in a variety of circumstances, but not necessarily what they will do – a view developed from the earlier work of Goffman (1959) on how one presents oneself in everyday life. For Schein (1984) organizational culture is:-

> The pattern of basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration and that have worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to these problems (Schein, 1984:3).

Where Schein (1984) differs from the established view of cultural assessment is in that level beneath values and beliefs in what he refers to as *basic assumptions*. These differ from the anthropological notion of dominant value orientations in evidence at the visible level, in that basic assumptions constitute the individual's unconscious, invisible and taken-for-granted beliefs, perceptions and feelings.

Schein's (1984) definition embraces a range of organisational phenomena which fit with this two level model supported by the prevailing research community (Barley,

[6] Semiotic analysis techniques – semiotics is a term used to describe the study of signs such as an object such as a building, or concept (to represent and interpret these as words or pictures) and codes (that preside over their use) - (Barley, 1983.

1983; Dandridge *et al.*, 1980; Alvesson, 1991) and includes level one factors such as dress code, language, norms of behaviour, rituals, symbols and level two factors such as values (e.g. trust, research-focused), attitudes (e.g. feelings towards students or promotion) and beliefs (e.g. an opinion about the grounds for promotion [espoused] as opposed to an opinion about the way promotions are granted). Group members can then evaluate their behaviour with that of colleagues by benchmarking it against organisational phenomena that have been approved within the organisation. For Schein (1984), members' thought patterns and values lie below the surface layer of organisational practices having been acquired and shaped through various experiences and stages of development including early family life, school, social groups and employment (Hofstede, 2005). They are the (inner) determinants that shape the attitude, character traits and temperament of an individual and ultimately their personality. When coupled with all environmental factors, these two forces are significantly responsible for shaping behaviour (Oppenheim, 1966). However, the idea that a set of forces can establish a correct way to perceive and think is also problematic. In spite of this reservation, Schein's (1984) definition is unique amongst the literature in that it incorporates the additional element of members' *basic assumptions* and this latter dimension provides the opportunity to determine meaning and insight as to why things are done in a particular way and to probe and explicate members' deeply held views about the nature of reality, truth and human relationships, which he argues are fundamental to understanding the culture within any organisation. The definition is general enough to accommodate a wide range of organisational units; it acknowledges the potential existence of diversity through sub entities/groups and is not founded specifically on the notion of open behaviour which can be attributed to personality, character trait, temperament or situation. It is a helpful perspective and for these reasons Schein's (1984:3) definition is the one being adopted and applied within this thesis.

Each definitional view of organisational culture presented here is predicated upon three assumptions made by the researcher. Firstly, that the transfer of behaviour through languages and other symbolic vehicles for expressing common understandings takes place through social negotiation and agreement, not through some biological route. Secondly, where a cultural form eventually stabilises, with

this stability comes a permanency and lethargy to change. Thirdly, ideological visions embodied in organisational language and symbols become absorbed into the structures, policy, strategy, documentation and systems of the organisation in the shape of rules and regulations which carry rewards for achievements and punishments for deviation (Wilson, 2001). Consequently this is important for organisational cultures in universities, which can be strong and anti-change, as will be discussed subsequently.

As we have already seen, agreement on a commonly shared characterization of organisational culture has proven difficult (section 2.2.1). One school of thought (Delobbe, 2002; Scott *et al.*, 2003; Van den Berg and Wilderom, 2004) saw the task of characterisation as being to identify and measure specific variables of organisational culture such as individual behaviours or processes. Others (Schein, 1984; Smircich, 1983) saw it in terms of analysing an inherent property found in organisations whenever individuals are brought together for a common purpose. To understand why things were done in a distinctive way in any organisation demands an understanding of the motivations (Brown, 1998) intentions and other thought processes (Alvesson, 2002) informing behavioural practices. Schein (1985) argued that a deeper analysis of organisational culture was necessary to achieve this and advocated a framework to accomplish the task which is described in section 2.5. Furthermore, on the grounds that organisations consist of individuals and groups, the notion of the organisation as a unitary entity with a single binding characteristic which defined its culture has to be contentious. The idea of *group(s) of members* who have the capacity to comment critically on their situation and can choose to act or not as dominant norms dictate, implies that a single (core) organisation culture may not exist as a unitary phenomenon. It follows therefore that a number of cultures (or subcultures) may exist which will challenge the efficacy of strong cultural forms and organisational effectiveness, and this notion will be explored in the following section.

2.2.2 Subcultures

Although a number of definitions (Louis, 1983; Schein, 1984; Barnett, 2000; Alvesson, 2002) suggest the construct of organisational culture offers a unifying

concept, the term 'organisational culture' also alludes to a diversity which can exist between groups within a single organisation. Several studies have suggested that fragmented group cultures can exist independent of the core culture (Sackmann, 1992; Trice and Beyer, 1984). These subcultures exhibit their own set of beliefs and values (Brown, 1995, Deal and Kennedy, 1982) and are associated with functional sub-groups or geographical groupings such as administrative sub-culture, professional sub-culture or customer interface sub-culture (Hofstede, 1998). Subcultures can be found in the domination of bureaucratic subcultures, the domination of one subculture over the core culture or the growth of counter cultures. Because such developments can represent a potential threat to the core (dominant) culture and to any innovative and supportive subcultures, members' commitment and performance may be severely curtailed (Lok and Crawford, 1999). In their study of hospital based nurses for example, Lok and Crawford (1999) found that ward subculture had a greater effect on member commitment than the core culture. From a subculture perspective, most universities comprise a number of separate groups broadly categorised as researchers, teachers, administrators, managers, support staff, divisions, faculties and each has the potential for initiating cultural discord. Thus, these points above illustrate how the potential for cultural dissension between distinctive subgroups within the same organisation and have practical consequences for management and researchers alike. Sporn (1996) suggests, however, that subcultures are not necessarily synonymous with dysfunctional behaviour. She argues that subcultures can be manoeuvred into a more unified body by involving members in areas like strategic reviews and planning. Nonetheless, with improving cost-performance ratios of the latest developments in information technology, hot-desking, flexible working arrangement and globalisation, the concept of a single organisational culture unifying a single static workforce located in one building may no longer be valid. Therefore any definition of organisational culture (as in Schein's, 1984) should be comprehensive enough to cater for a range of organisational units including the existence of sub-cultures.

2.2.3 Organisational Culture and Organisational Climate

Within the body of academic theory the research broadly falls into either organisational *climate* or organisational *culture* research. However, a comparison of

the two reveals striking similarities and attempts to differentiate between the two have been problematic (Denison, 1996). Climate is a metaphor from meteorology; whilst culture is a metaphor from anthropology (Scott *et al.*, 2003). Climate research has been preoccupied with studies of the *visible* level of organisations focusing on artefacts, shared perceptions and attitudes and behavioural manifestations – similar areas have also been investigated by culture researchers (Schein, 1985). The earlier work on organisational personality (Steers, 1979) and psychological atmosphere (Pritchard and Karasick, 1973) laid the foundations for subsequent research into those influences which have a major bearing on employees' cognitions and behaviours. Organisational climate surveys have proved useful tools for capturing this level of data (Delobbe, 2002). They tend to concentrate on a single point in time, adopt quantitative measuring tools, are focused on the researcher's quest for nomothetic[9] knowledge and are inclined to adopt sociology as the discipline base (Cameron and Quinn, 1999). Thus climate describes a state of affairs at one moment in time and the feelings, thoughts and reactions of individuals to this. It is "temporal, subjective and often subject to direct manipulation by people with power" (Denison, 1996: 637). Climate, then, can be considered as the short-term adoption of practices, norms and patterns of behaviour which reflect the underlying assumptions, beliefs and values of those organisational members in a position to exert influence and control over others.

Organisational culture studies on the other hand, are concerned with identifying and understanding those basic assumptions, beliefs and values which imbue social systems and organisational structures over the long term (Schein, 1985). Research into organisational culture predominately adopts in-depth phenomenological data collection methods through the interpretation of artefacts, including stories, rituals and documentation. Researchers tend to adopt a longitudinal time horizon, apply qualitative data gathering techniques, focusing on the native's point of view and are grounded in anthropological discourse (Denison, 1996). Despite attempts to clarify and distinguish between the two constructs of organisational culture and organisational climate, Denison (1996) argued that the most discriminating characteristic between them lies in their theoretical underpinning – climate is rooted

[9] Nomothetic – a research perspective which pursues general or universal laws and typologies into which to position individual examples (Trowler, 2008)

in Lewinian field theory[10] (Lewin, 1951, cited in Denison, 1996) whereas culture resided in social constructivism theories of the 1930's (Berger and Luckman, 1966, Mead, 1934, cited in Denison, 1996). Denison concluded that research into climate and culture studies be viewed as "differences in interpretation rather than differences in the phenomena" (Denison, 1996:638). He argued that integration of the two concepts rather than separation should be the route to follow. Such an approach would provide a justification for the adoption of an integrated research methods strategy in the study of these phenomena and shift the debate from questions of data metrics to one of data interpretation. In spite of the significant literature available outlining the distinction, similarities and relationship between organizational culture and organizational climate, the two terms appear to be used interchangeably. The distinction between climate and culture (between surface and core) is important however, not least because it has implications for the methodology used for studying each as discussed in the Methodology chapter.

2.3 Dimensions of Organisational Culture

The term *organisational culture* first appeared in the academic literature in a paper by Pettigrew (1979) though its roots can be traced back to the early literature on organisational analysis through Jacques (1952) who argued that previous work on culture had focused on the dimension of structure, whilst failing to address the emotional and human sides of organisational life. This was followed shortly thereafter by the groundbreaking work of the leading academics Hofstede (1980) and Schein (1985) both of whom have developed substantive models of culture which are elaborated upon in the next section.

Dominant perspectives were established, rooted in a number of academic cognate areas. In particular the seminal work of Smircich (1983) characterises organisational culture as a comparative dualism, firstly as a root metaphor - something that an organisation "IS" (anthropological perspective) - or secondly as an organisational variable – something that an organisation "HAS" (sociological perspective). In the

[10] Field theory is a coherent approach in the social sciences which provides explanation of regularities in individual action by recourse to position vis-à-vis others. Position in the field indicates the potential for a force exerted on the person, but a force that impinges from the inside as opposed to external compulsion.

case of the sociological perspective, researchers subscribing to this perspective adopt an objectivist view of reality and perceive culture as an independent variable brought into the organisation by members and on a par with "Country" or "Nation" (Brown, 1995). The sociological perspective assumes individuals create cultures and that these can be identified, measured and changed to predict organisational outcomes. Thus, central to the argument of those who support this view is the notion of the organisation as a social phenomenon with its own characteristics separate from those of its members.

In the case of the *anthropological* perspective organisations are perceived as culture producing phenomena (Cameron and Quinn, 1999). They are socially conceived to deliver goods and services and in the course of doing this, create, develop, shape and output a system of common understandings (norms and expectations) and distinctive visible artefacts such as customs, rites, stories and dress code (Brown, 1995, Hatch, 2006; Martin, 2002). However, for anthropologists such as Geertz (1973) culture is a root metaphor for organisations. It is conceptualised as an epistemological device aimed at discovering the native's (web of significance) perspective as a social phenomenon. Consequently the metaphor is the principal mechanism for identifying culture through the application of semiotic analysis of language, ritual, symbols and social structure (Ouchi and Wilkins, 1985). This perspective assumes cultures create individuals and nothing exists in organisations other than culture, hence the organisation IS culture (Cameron and Quinn, 1999). From an anthropological perspective of culture, the balance of, and relationships between these understandings and the visible artefacts (material, verbal, and behavioural), establishes the equilibrium and effectiveness of the organisation. Alternatively, severe imbalance can instigate fragmentation, yield weak cultures and result in organisational silos. Absolute equilibrium can result in strong cultures (Peters and Waterman, 1982; Deal and Kennedy, 1982). In this capacity, culture has been referred to as the "normative glue" (Tichy, 1982:63) which bonds organisational members to each other and expresses the values and beliefs that members share. It has been argued that strong glue, for example values or routines, minimises the growth of orthogonal subcultures and countercultures (Siehl and Martin, 1984) and a

strong culture has even been associated with good organisational performance on a national scale (Peters and Waterman, 1982; Deal and Kennedy, 1982):

> A major reason the Japanese have been so successful, we think, is their continuing ability to maintain a very strong and cohesive culture throughout the entire country (Deal and Kennedy, 1982, p5).

Strength of culture can be enhanced by establishing a good fit between structural arrangements, strategic plans and cultural values and was believed to be the key to revived levels of organisational performance of prosperity (Peters and Waterman, 1982). Strength, however, can be defined in different ways as in stability and intensity (Schein, 1985); as coherence (Deal and Kennedy, 1982); as homogeneity (Ouchi and Price, 1978) and as congruence (Schall, 1983). Collectively these authors define cultural strength as the extent to which the dominant cultural values are held (penetration:- Saffold, 1988) by whom (dispersion) and for how long. These values and beliefs reveal themselves in the expressed behaviour of members through a range of symbolic devices such as myths (Boje, 1982), rituals (Deal and Kennedy, 1982), legends (Wilkins and Martin, 1980) and language (Andrews and Hirsch, 1983). Actions and symbols thus express and form culture (Dandridge *et al.*, 1980). However, they do not suggest ways in which cultural strength can be translated into a practical, measurable variable capable of predicting organisational performance (Gordon and DiTomaso, 1992). Strong cultures, however, can also be seen as counter-productive, as for example in the case of a strong bureaucratic culture in a time of change (Brown, 1985). The sources of this strength of culture and the ways these attitudes, values and assumptions are inculcated and acquired is central to any study of cultural behaviour and this forms the focus of the next section.

2.4 Factors influencing Organisational Culture

In investigating and assessing the nature of organisational culture, it is necessary to consider where the elements of culture originate from in order to determine their significance and relative priority. Brown (1995) identifies three of the more important sources which influence organisational culture. First, the situational culture of the nation or society within which the organisation finds itself in. Second, the business sector and environment the organisation is situated within and their

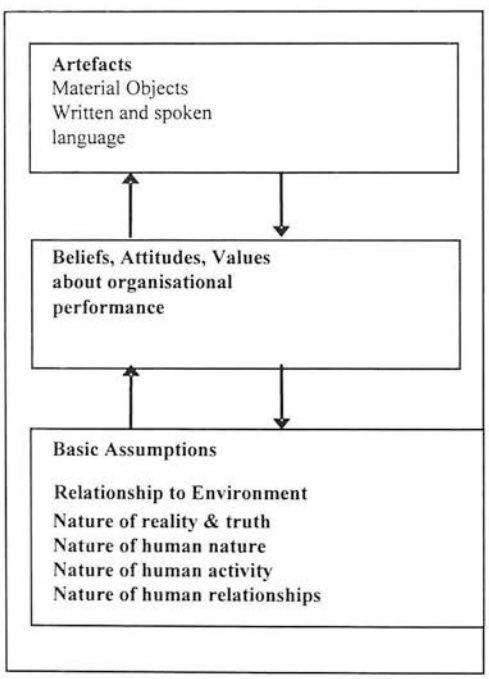
attitude towards risk. Third, the leadership style and personality of the founder or other dominant leader influence the organisation's culture. Pettigrew (1979) for example, argues that the authority of the founder's own ambitions induces commitment and common purpose. Buchko's (2000) empirical assessment of managing by values concluded that leadership in an organisation influences the behaviour and performance of employees. He argues that subordinates take many cues from their superiors, which may explain why managing a firm by way of a set of core values can result in improved individual and firm performance. However, Buchko (2000) weakens his case in accepting that much of the evidence supporting this claim is anecdotal. Schein (1985) draws on the work of Pettigrew (1979) arguing that the founder's role is crucial in setting standards, reducing perceived stress factors and determining acceptable norms of behaviour.

Schein's later work (2004) on the influence of the dominant leader in shaping organisational culture provides some insight into how culture reveals itself and affects members in a whole range of settings and contexts including the company history and tradition; technology, products and services; the industry sector and its competitors; customers; company expectations; information and control systems; legislation and company environment; procedures and policies; rewards systems and measurement; organisation and resource; goals, values and beliefs. Although comprehensive in its approach this list does not give clarity or comment on those settings and contexts which are primary or secondary when attempting to direct, shape or alter culture. A number of conceptual models have been developed which attempt to link the various factors, thereby addressing this deficiency, and are described in the following section.

2.5 Conceptual Models of Culture

Conceptualising is the process of exploring theoretical representations of culture using models and frameworks in an attempt to derive meaning about the underlying elements and concepts of culture and the relationship between these. The most notable models in this field are those of Edgar Schein and Geert Hofstede. Hofstede (1980, 1998) believed that organisations were subcultures of larger national culture

systems. He also argued that national culture differences were a factor in determining the behaviour of individuals employed within the same organisation but located in different countries. The four (later five[11]) national culture dimensions Hofstede identified produce specific, measurable characteristics which can be used to identify and diagnose national organisational differences. However, in spite of the significance of this work, a number of important limitations have been suggested which moderate the conclusions one can draw from these findings. For example, the weakness of a conclusion about national culture inferred from a study of a single organisation (Sorge,1983) and of greater significance to this thesis, is the extent to which values and other social principles which underlie patterns of behaviour, can be inferred from surveys alone (Heracleous, 2009; Lowe, 1981; Warner, 1981). In spite of these criticisms, Hofstede's work on national culture did encourage a number of other researchers (O'Reilly *et al.*, 1991) to adapt his work and further develop the area.



Schein (1984) adopts a different gestalt for studying organisational culture, concentrating his efforts at the unit level of the organisation rather than country. His hierarchical and integrated 3-layer model (Figure 2.1) rests on the belief that core basic assumptions, though invisible to the naked eye, are the foundation building blocks for studies in organisational culture and can be elicited from members using appropriate qualitative tools and techniques.

Figure 2.1: Schein's (1984) layered conceptualisation of organisational culture.

The model depicted in Figure 2.1 shows those features of basic assumptions (1st layer) whether "invented, discovered or developed" (Alvesson, 2002:51) which

[11] Confucian dynamism: accepting the legitimacy of hierarchy and valuing perseverance and thrift, without undue emphasis on tradition and social obligations that could impede business initiative.

constitute the deeply held and unquestionable positions, facts, and behaviours which members hold to be beyond dispute (Hatch, 2006). They in turn influence how members become aware of things, how they conceptualise, feel and behave. An example of basic assumptions within an organisational context can be found in the nature of trust within employee relationships, often rooted in that early relationship formation between parent and sibling. These generalised basic assumptions are then articulated through a series of values, attitudes and beliefs (Brown, 1995). Schein (1984) argued that uncovering cultural assumptions in organisations can be achieved by undertaking group interviews to draw out individual positions on specific dimensions. He identified 5 dimensions (Table 2.2) to diagnose where organisational members position themselves on each dimension.

Table 2.2: Theoretical Framework for analysing Basic Assumptions about Organisational Culture: Adapted from Schein (1984)

Dimension	Assumptions about:-
1	How the organisation perceives of itself
2	Organisational stance on truth
3	Organisational stance on Human Nature (HN)
4	The Nature of Human Activity
5	The Nature of Human Relationships

(See Appendix A for a fuller explanation of each assumption and their application to data analysis)

Values (middle layer, Figure 2.1) are considered to be "attitudes that can be articulated with relative ease" (Martin, 2002:46). They are universally enduring beliefs or social principles about individuals or socially desirable codes of conduct which define expectations and are expressed through norms and guide behaviour (Vandenberg and Peiró, 1999). Typical organisational values would include issues such as equity, health and safety, power, reward, efficiency, competitiveness, law and order and teamwork (Brown, 1998). However, Argyris and Schön (1978) remind us of the consequences of incongruent behaviour when organisational espoused values and actual organisational practices differ, resulting in behaviour at odds with the dominant cultural norms. They illustrate this incompatibility in a case study where criteria for rating employee reward and promotion (espoused theory) did not harmonise with the actual criteria used to reward employees (actual practice), resulting in a high level of employee dissatisfaction.

The 3rd (surface) layer of Schein's (1984) model of culture (Figure 2.1) consists of those observable and more superficial expressions of an organisation's culture. This artefact layer refers to the total set of physical entities which organisational members have constructed over time. They include material objects, decor, written and spoken language and finally behaviour patterns. However, although easy to identify and observe, artefacts can be interpreted ambiguously and are difficult to decipher. Martin (2002) argues, however, that not all cultural artefacts such as myths are necessarily superficial and can be seen as important in opening a window into the deeper layers of organisational life, namely values and basic assumptions. If

organisational culture is perceived as a network of tacit understandings embodied in ideologies, norms and values but expressed through organisational practices such as rites, language, ceremonies etc, then we can determine the tacit understandings that characterise an organisation's culture by analysing these practices (Trice and Beyer, 1984). In this role, these practices serve as sensitizing mechanisms in helping to interpret and explain why certain behaviours of members appear the way they do. Corporate Logos provide a useful example of material artefacts and Hampden-Turner (1990) provides an incisive analysis of the logos of the Apple, Honda and Volvo corporations which demonstrates the potential value of these branding tools as cultural artefacts. Similarly, logos, like mission statements, constitute organisational symbols and serve as sensitizing mechanisms to define the long term aspirations of the organisation and as such offer a good insight into the culture of and organisation (Brown, 1995). Besides specifying the overall aim, purpose and goals of the organisation, mission statements typically embody the key beliefs and espoused core values of the company. They embrace the organisation's ideology expressed in language and other symbols. At a functionalist level, these are translated into meanings of shared expectations on patterns of behaviour, appropriate attitudes, social principles and standards of worth, areas of immediate interest to practitioners with an interest in utilitarian view of controlling culture and the means to achieve this (Barley *et al.,* 1988). However, a potential limitation of mission statements and other similar artefactual cultural items is their capacity to exhibit varying degrees of stability[12] over time (longer in the case of legends, shorter for modern style as in dress codes). Nonetheless they serve as a useful reflection of the contemporary cultural milieu.

Language is yet another cultural form, a sensitizing mechanism and communication channel that assists members' mutual understanding of the organisation, thereby allowing them to work together towards common goals. At one level language is instrumental in communicating how members distribute knowledge (cognitive perspective; Goodenough, 1971) through shared meanings (symbolic perspective; Geertz, 1973) in the course of organisational sense making. Though meaning is

[12] The stability of Mission statements for example even in higher education institutions can change with each new principal which may be 3-5 years or even several times within the term of the same principal.

created in the cognitive domain (Hofstede, 2005), formal expression is through language and organisational documentation such as mission statements policy documents and strategic plans. However, meaning is not uniform and may be conditioned by the contextual stance of the recipient, resulting in ambiguous interpretation of the intended message. From a structural perspective, language is an established vehicle for formalising procedures, systems, rules etc. From a critical perspective, language, like other cultural forms, can be a subtle tool used by management to control others (Siehl and Martin, 1990).

Researchers have thus tried to identify organisational cultures by exploring the underlying values that create meaning for individuals, assessing the shared basic assumptions underpinning and influencing these values and by studying the manifestation of these values and assumptions through a range of artefacts. One quantitative approach to exploring and measuring values and artefacts is to develop an organisational culture assessment instrument. Examining shared basic assumptions underpinning a cultural value set and the artefacts reflecting these can reside within the domain of qualitative research (Schein, 1985; Zammuto and Krakower, 1991) using narrative analysis to explore the storytellers' world (Andrews *et al.*, 2004) or discourse analysis to devise ways of looking at phenomena within data sources (Potter, 2004).

The model adopted or developed for diagnosing organisational culture will largely depend upon the researcher's philosophical stance, the suitability of the theoretical frameworks available, the limitations attached to the setting under investigation and the practicalities involved for the researcher and the researched and these will be introduced in the next section and expanded upon in Chapter three.

2.6 Organisations and their Cultural Types and Typologies

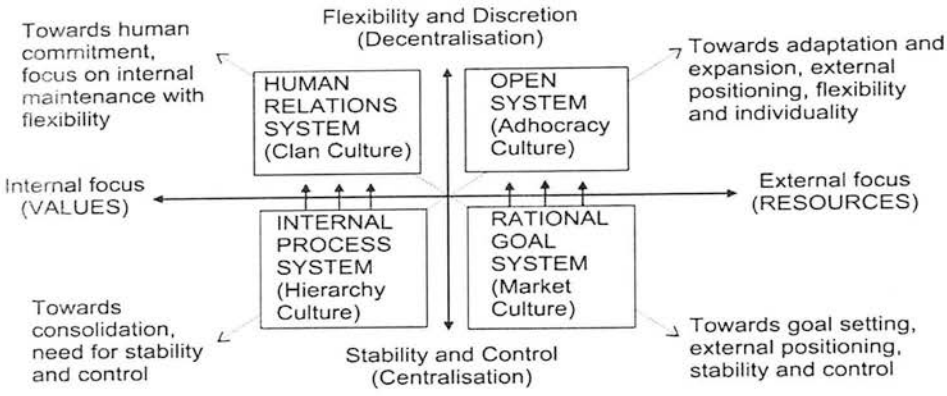
Whilst the models of Hofstede (1980) and Schein (1984) attempt to simplify organisational culture by defining a number of elements and dimensions, other researchers have attempted to categorise organisations by culture type based on the degree of conformity to a number of characteristics. A number of typologies of organisational culture exist, most are derived from and modifications of Harrison's

(1972) original classification. Harrison identified four main forms of organisational culture which are direct expressions of particular forms of organisational structures and have identifiable characteristics associated with each: power, role, task and person. In a *power* culture, control and authority stem from a single source at the centre. Resource power is centralised, thereby containing the exercising of authority. The culture is typically tough, abrasive and competitive with successful performance based upon results rather than the means of achieving them. Few rules exist, so there is minimal bureaucracy. The greatest advantage of the power culture is its ability to respond quickly to market and other external forces (Brown, 1995). In a role culture, power is conferred on role description and is associated with a bureaucratic structure based upon principles of logic and reason. Organisational structure consists of a number of functional specialisms such as marketing, finance and production which are controlled by a small group of senior management. This culture is best suited to environments which over the long term are stable and where control results in predictable performance. Task cultures are typically characterised by action and delivery of outputs. The organisational structures tend to be teams of appropriately skilled individuals, brought together to focus on the job in hand (Brown, 1995). Organising principles on which work is based are merit and ability rather than age and status. The environment tends to be highly competitive with products having a short life span, thereby stimulating the need for constant innovation. Consequently high levels of expertise are difficult to achieve and because roles are less clear, when things go wrong, rules, systems and procedures begin to dominate with a consequent decline in morale. In the final category, *person* culture, professionals such as lawyers, accountants and doctors constitute examples of this category. These organisations exist for the benefit of the individuals who comprise it. Workloads are often decided by the members with power being determined by expertise. The structure is contrived to serve only the members' interests. This model was later modified by Handy (1978) and later still by Deal and Kennedy (1982) who derived another four category model which they claim represents generic culture forms derived from two key determinants from the market place, namely risk and speed of feedback to employees on decision-making. A further contribution to the notion of generic organisational cultures was proposed by Quinn and McGrath (1985) who also developed a 4-category model comprising: the consensual culture (clan); the

rational culture (market); the ideological culture (adhocracy) and the hierarchical culture (hierarchy). The intellectual roots for this model reside in the notion that whenever members interact with each other through language, rituals, gestures, stories and myths, important cues about power, status and feelings are transmitted, interpreted and used to modify the dominant norms which govern and condition behaviour. This typology was subsequently developed by Quinn, who explored the relationship between members' values influencing behaviour and organisational performance and, in association with Cameron (1999), a framework emerged which sanctioned the expression of tensions between individual and organisational values and performance. This framework forms the focal point for this next section.

2.7 The Competing Values Framework

Developed by Cameron and Quinn (1999) the Competing Values Framework (CVF) is a theoretical model derived from empirical studies into the major indicators of effective organisations and with a long history originating in Jung's (1923) framework of psychological archetypes. Jung believed that people use cognitive analysis to categories information from events and objects in order to make sense of the world. They frame these categories in their minds and the resultant framework is termed psychological archetypes. This framework was later constructed to undertake empirical work into the contribution of individuals' values on desirable organisational performance by Quinn and Rohrbaugh (1983). The framework refers to the predominant focus of the organisation. Two major dimensions emerged from this research. The first emphasised an internal versus external orientation; the second measure emphasised stability and control or change and flexibility (Cameron and Quinn, 1999:32). Together these two dimensions shape four quadrants each characterising a distinctive group of markers which reflect organisational effectiveness in areas such as structure, control and risk-taking. The Competing Values Framework focused on the competing tension and conflicts of these two dimensions inherent in organisations, as can be seen in Figure 2.2 below.



Source: Adapted from Cameron and Quinn (1999)

Figure 2.2: The Competing Values Framework, Cameron & Quinn, (1999:32)

The Competing Values approach to assessing culture used in this thesis subscribes to the view that using scenarios as a trigger can help respondents recognise values which are indicative of organisation, or sub culture they belong to. Cameron and Quinn (1999) argue that the competing values model is consistent with psychological dispositions of humans which collectively shape the foundations of our thoughts and behaviour and manifest themselves in the form of artefacts such as symbols, ceremonies and stories (Jung, 1968).

The first category in Cameron and Quinn's (1999) typology, Clan Culture form, refers to an organisational culture with characteristics based upon notions of an empowering environment, high personal autonomy coupled with shared values, a sense of "we-ness" fostering high group cohesion and morale determined by the group/team. These characteristics were underpinned by a number of basic assumptions. Firstly, teams are the best way to manage the environment. Secondly, a function of the organisation is to provide a working environment sensitive to the needs of the workforce. Finally, the primary role of management is the enabling and empowering of the workforce in such a way as to encourage their engagement, commitment and allegiance (Cameron and Quinn, 1999). The function of the leader is viewed as that of mentor, where loyalty and tradition act as glue in holding the organisation together (Igo and Skitmore (2006). Notably, this generic classification of organisational culture is highly comparable with the conventional image of a university (Smart and St. John, 1996). However, in an early account of the issues involving the management of meaning within academic culture, Dill (1982) stressed

that the decline in shared beliefs in academic culture had been accompanied by a failure to manage this situation, resulting in a fragmented system of beliefs. This fragmented system of beliefs, however, may in some respects be attributed to the notion that university academics can maintain a respectable distance from the central beliefs and values of their employing institution and can do so because they see their first allegiance to their cognate areas within national and international communities.

Adhocracy culture organisations are based upon a set of assumptions which acknowledge innovation and cutting edge initiatives as the route to success. The culture mirrors an organic system and the organisation is characterised by having open and flexible structures which can rapidly change to meet new circumstances. Emphasis is placed on being ready to respond rapidly, so "tents rather than palaces" (Cameron and Quinn, 1999:38). Growth is based upon producing innovative products and services, consequently resource acquisition and external support are seen as critical. Risk taking is rewarded as the future is what counts; consequently organised anarchy is the norm. Management's role is to foster this internal environment where people are not controlled but motivated and enabled. Typical organisations that fall into this quadrant tend to be aerospace and software development (Cameron and Quinn, 1999).

Rooted in the earliest work of German sociologist Max Weber, hierarchical culture organisations are characterised by the archetypal seven attributes of bureaucracy: hierarchy, accountability, rules, specialisation, meritocracy, separate ownership and impersonality. These attributes formalise and control the activities of the workforce to ensure stability and control. Goals and tasks are formalised and monitored. Order and compliance are valued highly (Igo and Skitmore (2006). Organisations that fall into this quadrant tend to be government agencies and local authorities (Cameron and Quinn, 1999).

Organisations personifying Market cultures are customer focused, concerned with the external market, and governed by the principles and conditions of the economic market. Success criteria comprise profitability, exceeding stretch targets, a secure customer base and maintaining a healthy share of market. Core values are

competitiveness and profitability. The impetus is to exceed targets, and generate profitability through competitiveness and productivity (Cameron and Quinn, 1999:35). Diversification and niche products typify developments within these organisations. Consequently leaders are sought after who can be responsive, value and encourage risk-taking, innovation and creativity (Igo and Skitmore, 2006). Organisations that fall into this quadrant would typically be retailers (Cameron and Quinn, 1999).

To map organisations onto these four organisational metaphors of cultural forms as part of the process of diagnosing organisational culture, a number of instruments are available to measure generic dimensions of organisational culture and map the results onto the CV framework. These instruments will represent the basis for the following section as they inform any organisational culture diagnostic instrument of use to this thesis.

2.8 Diagnosing and Measuring Organisational Culture

Cameron and Quinn (1999:140) believe that most organisations will develop a cultural type/form and claim that thousands of organisations, including 334 institutions they have studied are characterised by the typology, but also conclude that although no organisation was characterised by a unitary culture type, a dominant culture was conspicuous in most organisations. Focusing on a number of core cultural dimensions can help uncover an organisation's values (Cameron and Quinn, 1999). Pattern (of behaviour) dimensions and *content dimensions* are two of the various dimensions acknowledged for recognising core attributes (values) of an organisation's culture. Pattern dimensions refer to whether values are internal/external focused, attitudes toward risk, power, participation of individuals and speed of decision making. Content dimensions (reflecting cultural values and assumptions) refer to those aspects which serve as cues to assist individuals recognise, interpret and draw conclusions about their organisation and its values. In order to assess and rate core dimensions that reflect the form/type of culture within an organisation, an organisation culture profiling tool is required.

A number of measurement tools exist for extracting these core dimensions, including Cooke and Lafferty's (1987) Organisational Culture Inventory (OCI), and The Organisational Culture Assessment Instrument (OCAI, Cameron & Quinn, 1999). Authoritative sources including O'Reilly *et al.* (1991), Hofstede, (1991), Rohrbaugh, (1991), Quinn and Spreitzer, (1991), cited in Delobbe *et al.* (2002) claim that all the *content* dimensions covered by the OCAI reflect the core values and implicit assumptions about the way organisations currently operate and "how things are" (Cameron and Quinn, 1999:136). They argue that these dimensions adequately describe a passable representation of an organisation's culture as reported by an individual's preference for a particular configuration of values.

Table 2.3: The Six key dimensions addressed by the Organisational Culture Assessment Instrument.

Cultural Dimension	Explanation
Dominant Characteristics	The degree of teamwork and sense of belonging, level of creativity and dynamism, focuses on goals and competition, reliance upon other systems and emphasis on efficiency.
Organisational Leadership	Leadership style and approach that permeated the organisation. Mentor, facilitator, innovator, broker, producer, director, coordinator, monitor.
Management of Employees	How employees are treated, degree of consultation, participation, and consensus, working environment.
Organisational Glue	Bonding mechanism that hold the organisation together, such as cohesion and team work, loyalty and commitment, entrepreneurship and flexibility, rules and policies, goal orientation and competitiveness.
Strategic Emphasis	Defines what organisational areas emphasise and drive the business strategy forward.
Criteria of Success	Reward management, who or what get awarded and how success is defined.

The Organisational Culture Assessment Instrument (OCAI) developed by Cameron and Quinn (1999) employs the Competing Values Framework (Cameron and Ettington (1988) as a model for diagnosing the relative importance of cultural traits that reflect key values and assumptions about an organisation. It (OCAI) allows the researcher to determine (from within the CVF) an organisation's dominant

orientation based on four core cultural forms identified earlier - Clan, Adhocracy, Hierarchical and Market (Fig 2.2). The OCAI has proved a very popular and reliable culture assessment tool, having been applied in almost 10,000 organisations worldwide and across most sectors (private, public, education, health, new start-ups, NGO (Cameron and Quinn, 1999). Originally developed from Campbell's (1977) 39 organisational effectiveness indicators, it represents the core values (Quinn and Rohrbaugh, 1977) of organisation expressed in a two-dimensional framework (Figure 2.2). Using this framework, Quinn and Cameron (1983) went on to develop an assessment tool (the OCAI) which employed the Competing Values Framework in an effort to establish and characterise an organisation's dominant cultural type. In essence it provides a snapshot of how an organisation operates and the values it operates within. The OCAI, claim Cameron and Quinn (1999:138) "is unique in its ability to identify the organization's cultural strength, congruence, and type". In spite of this claim being challenged (for example see Smart and St. John, 1996; Delobbe, 2002) it still proves a useful, uncomplicated and implementable tool for the process of cultural diagnosis.

The CVF has been applied to issues ranging from leadership development to organisational change. This was extended by Quinn and Kimberly in 1984, who suggested that the value orientations inherent in the framework could be used to explore the deep structures of organisational culture, the basic assumptions that are made about such things as the means to compliance, motives, leadership, decision making, effectiveness, values and organisational forms. It connects the strategic, political, interpersonal and institutional aspects of organisational life by considering the different patterns of shared values, assumptions and interpretations that define an organisation's culture (Al-Khalfia and Aspinall, 2001). For these reasons the OCAI and the CVF were two chosen instruments adopted during this research for investigating organisational culture values within the three Scottish university settings.

Although these theoretical models are useful research tools with which to conceptualise about and study organisational culture, Handy (1978) argues that culture has a material effect on a number of organisational features including morale,

communication, overall mood and attitude towards innovation. In spite of their merits, these cultural models in essence amount to organisational culture stereotypes unlikely to be found in this ideal form in any "real" organisation. Brown (1995) supports this view, adding that real organisations are complex and are unlikely to fit into any one category in any one typology. Despite this, they do, in some measure, guide empirical research to generate theory and represent a standard against which existing organisational tendencies, their fundamental beliefs, style of leadership and authority, rewards for people, degree of planning and control and so forth can be compared and evaluated. Thus the challenge for researchers, Obenchain *et al.* (2002) argue, is to identify those characteristics (resources, processes and values) which enable organisational innovation; a challenge which part of this thesis addresses.

Legitimising these models for objectivity or subjective plausibility and testing the theories and assumptions on which they are based requires comparisons to be drawn between the cultures of different organisations. This in turn demands the identification of a number of core dimensions for assessing these cultures (Delobbe, 2002). To sanction this type of comparison two main methods are available, quantitative and qualitative. Whereas quantitative tools make for easy assessment of climate, the underlying values and deep seated assumptions shared by members become clearer only after in-depth interviewing (Schein, 1990). Only during this process can the espoused views, beliefs, attitudes and values declared in a public discourse be translated into the private, innermost feelings, thoughts and behaviours of the organisational practitioner.

Thus the debate over alternative conceptions of organisational culture characteristics and perceptions and the approaches available to explain these is acknowledged. The practical challenge then becomes one of how to apply these approaches to policy and practice in a useful way in order to help diagnose, measure and explain an organisation's culture and more importantly, for the purposes of this thesis, to comment on the ways these characteristics support or inhibit innovation. One approach would be to integrate an established theoretical framework for studying organisational culture, such as Schein's (1984) model, with the research areas under

investigation – policy and practice in supporting/inhibiting pedagogical innovation as illustrated Table 2.4.

Table 2.4: Theoretical Framework (Adapted from Schein, 1984)

Unit of Analysis	**University :- Senior Management, Academics, Support Staff**		
Data Source	**Secondary**	**Primary**	**Primary**
Level of Analysis	**Artefacts**	**Values & Beliefs**	**Basic Assumptions**
Policy[13]	Undergraduate Prospectus Mission Statement Strategic Plan L,T & A Strategy (Innovation) L, T & A Implementation Plan (Innovation)	Senior Management Ideals for behaviour and vision for achievement	Professionalism Student centred Researched centred
Practice[14]	Way groups of members actually do things (symbolic innovation, conceptual or genuine pedagogical innovation)	Groups' patterns innovative behaviour, group and individual pedagogical innovative practice	How members interpret policy, decipher and act/innovate. Academic autonomy

Table 2.4 outlines a 3-level model of analysis framework across both policy and practice and is the author's adaptation of Schein's (1984) conceptualised framework of organisational culture. The table illustrates where the 3-level model of analysis (artefacts, values & beliefs and basic assumptions) can be applied within universities to identify and gauge organisational culture and contrast the espoused pedagogical policy position with actual pedagogical practice of individuals, groups and committees in order to partly determine the strength and congruence of that culture (Smart and St. John, 1996) and the extent of their innovativeness, and these will be further expanded upon in subsequent sections of the thesis.

[13] Ball (1990) reminds us the label "policy" is the crystallisation of the organisation's espoused values, can refer to past, present or future activities and does not distinguish between policy as an aspiration, policy as achievement or policy as action (or inaction). It can indicate a desired state of affairs or be an expression of a general purpose.

[14] The way policy is carried out, reflected, engaged with, by those charged with its implementation.

2.9 Organisational Culture and Innovation – Theoretical Perspectives

Innovation is an important aspect of organisational culture as some features of culture, including resources and processes (Obenchain *et al.*, 2002) structure, leadership and people relationships (Brown, 1995) support or inhibit innovative behaviour. This next section explores the term innovation, outlining the range of perspectives influencing innovation, look at how organisations address innovation, critically assessing the importance of innovative ideas and deal with it in order to implement or commercialise their ideas. The section will firstly, critically assess the general literature on innovation and secondly, consider how organisational culture affects (supports/inhibits) innovation within higher education (Kezar, J. and Eckel, 2002).

Innovation has been defined as "the successful exploitation of new ideas" (Department of Trade and Industry, 2009:5) and is generally conceptualised as the act of capturing, selecting, funding, developing, implementing and commercialising these ideas (Van de Ven and Angle, 1989). According to Adaption-Innovation Theory (Kirkton, 1976), an individual's predisposition to innovate will largely be determined by drivers[15] which can be scored on the Kirkton Adaption-Innovation Inventory (Kirkton, 1977). Broadly characterised, adaptors are more concerned with improvement and doing things better, whereas innovators are more concerned with doing things differently. Although the terms 'creativity' and 'innovation' have overlapping characteristics, it is creativity that feeds innovation. However, without successful implementation of new ideas and products, creative activity will quickly be seen as an expensive black hole. To realise the returns necessary to sustain this activity, management must ensure they attend to both the generating of new ideas and the conversion of these to implementable solutions.

2.10 Dimensions of Innovation – Support/Inhibitor factors

Support, in the context of the focus of this thesis, is defined as those factors which enable and maintain behaviour towards activity and includes, for example, power,

[15] ***Driver:-*** *a* motivational force such as a change agent, external stimuli, policy document, recognition and reward)

authority, resources. Support alone does not guarantee the successful implementation of new ideas. Other influences such as obstacles, rewards, and perceptions all contribute towards what is or is not achieved and the role of management here cannot be understated. It is they who collectively construct the appropriate environment to encourage and support innovation and remove obstacles to the creative process (Obenchain *et al.,* 2004). They hone the organisational culture to make it conducive to innovative activity by providing training, establishing innovation targets, encouraging a risk-inclined attitude towards innovation and developing reward systems for successful innovators. Drucker (1985) argues that successful innovation is more likely to happen when it is for a special purpose such as reducing staff workload; is independent of the organisations systems, procedures and processes; is small scale; has the full commitment and involvement of everyone; is experimental and is receptive to changing conditions.

In assessing the relationship between innovative behaviour such as risk and the size of organisations, Weber (1947) argued that large organisations such as banks and local government organisations aim for efficiency, precision and reliability and thus have a tendency to be bureaucratic. In doing so they tend to espouse characteristics of consistency, caution and orderliness and implement an adaptive approach to risk taking (Weber, 1947). Smaller-scale organisations will apply a less rigid framework as found in Research and Development oriented companies, and espouse characteristics which are more dynamic, daring and messy and implement an innovative approach to risk taking. By virtue of their size, history, accountability, commitment and complexity, universities have traditionally been viewed as more akin to the former than the latter and exhibit those characteristics which would encourage adaptive rather than innovative activity. One of the earliest recorded scholarly works investigating the relationship between organisational culture and innovation concluded that mechanistic organisations, characterised as top down, multi-layered, with highly developed structures, systems, processes and roles, inhibit creativity and innovation. Organic organisations, on the other hand, are characterised by their adaptability, flexibility and responsiveness which facilitated greater creativity and innovation (Kanter, 1988).

More recently Amabile *et al.* (1996) supported the characteristics of group support and autonomy as desirable factors for promoting innovation. Adopting a psychometric, quantitative research approach, she and colleagues developed an instrument (Amabile *et al.*, 1996) aimed at assessing work environments as places to promote innovative behaviour. The instrument was validated on school teachers and students and therefore has some utilitarian appeal in a university sector context. This research identified a number of support and inhibitor variables, including adequate resources, and workload pressures, which they hypothesised would clearly distinguish high innovative climates from low innovative climates. Although many of these could be considered vague and of a generic nature in that they could apply to many aspects in motivating agents within organisations, they are helpful in that they allude to the type of general characteristics which shape an organisation's innovative cultural form and therefore are of relevance to this thesis.

Using a different approach based on qualitative, interpretive research of 100 US companies, Kanter (1988) also addressed variables which supported and inhibited organisational creativity and innovation. On the support side, she concluded that those organisations demonstrating integrative structures, emphasising diversity across multiple internal and external networks, articulated pride and trust in employee talents and promoting groupwork amongst teams, faired better at innovating. She makes the case for hierarchical structures, excessive control, and lack of support/encouragement as conditions associated with inhibiting innovative practice. Building on the work of Amabile (1988), Kanter (1983, 1988) and others, Tesluk *et al.* (1997) explored the influence of organisational culture on innovation at the individual level. They concluded with five dimensions which they argue encourage and support innovative activity. Although the body of literature assessing the relationship between organisational culture and innovative activity is relatively sparse, it is nonetheless clear that a number of key dimensions of innovation can be drawn from the literature above. A number of inhibitor dimensions have also been identified from these five dimensions and synthesis of the literature

Table 2.5 Key Dimensions for assessing innovation

Support dimensions	Meaning	Inhibitor dimensions
Emphasis on creative/innovative goals	The means of articulating these to employees	Excessive Hierarchical structures
Means emphasis	Ways in which management convey their active support for risk taking, creative and innovative debate and behaviour;	Non-alignment of active support with espoused positions
Reward emphasis	The amount and frequency of rewarding creative/innovative outcomes.	Lack of support and encouragement (reward)
Infrastructure support for the task	The extent to which funding, time release and other equipment and support are available when required to support development and implementation of new ideas.	Lack of resources committed and involved.
Socioemotional support	The extent to which an atmosphere of mutual trust, support and respect is there to encourage and actively support creativity and innovation.	Excessive control

While acknowledging that these dimensions constitute one group of researchers' conclusions on the factors which support innovative behaviour, they may be perceived to have limited generalisability and should not be seen as a panacea for all innovative activity. However, they provide a useful and uncomplicated framework for research and will constitute the innovative dimensions applied for this study.

On the support side the collective wisdom appears to acknowledge that encouragement at organisational, supervisory and peer level, autonomy and the means to undertake innovative activity, appear consistently in the literature. Control (through excessive structures, levels, and top-down decision making) was acknowledged as the major dimension to inhibit creativity/innovation. These dimensions have important implications for innovative practice within higher education and this will form the central point of the next section.

2.11 Context of Study - Universities as Innovative Organisations

The role of organisational culture within universities in supporting/inhibiting pedagogical innovations and innovators of pedagogy is now addressed. A critique of theories and evidence from the literature pertaining to organisational culture within universities and innovation within universities is provided.

2.11.1 Nature and Role of Organisational Culture within Higher Education

Universities in the UK have traditionally been characterised by a level of stability arising from "lifetime employment, collective decision making, individual responsibility, infrequent promotion and implicit, informal evaluation" (Dill, 1982:307). Over the last two decades, the sector had experienced increasing levels of student numbers and diversity even before the inauguration of the "modern universities" in 1992 leading to significant changes (Gibbs, 2006). Since this period the overall number of universities in the UK more than doubled. Some of the new designated universities brought in management styles not traditionally associated with those of the ancient or civic universities (Sawbridge, 1996:6).

> It would appear to be the case that the increased focus on employer-led initiatives in the last decade, appraisal, performance-related pay, increasing casualisation[18] of the workforce, trends towards massification and more pro-active staff development to name but a few, is different in character than in the post 1960s.

This distinctive change - particularly in managerial style - may suggest to some senior management within the sector that the degree of predictability associated with a loosely-managed traditional university life has gone and that they are now in a different climate. The impetus for the study of universities as cultural settings, however, preceded this conflation of the former polytechnics with the established university sector.

[18] Casualisation – a term used to represent a position where universities employ staff on a part-time or temporary contract.

2.11.2 Conceptions of Organisational Culture within Universities

In attempting to define organisational culture within a university context, the literature broadly mirrors that of culture within organisation studies where the notion of shared values and beliefs has been frequently referred to in a number of definitions and frameworks (Frew, 1997; Obenchain *et al.*, 2002; Silver, 2003). This notion of culture is closely aligned with the three layered model of Schein (1984) which is a central model being applied to the study of culture within this thesis. Obenchain *et al.* (2002:27) conceptualise university culture as "how things are done around here" involving networks and practices devised by actors in the operating of their daily lives (Geertz, 1973) and it is the role of the researcher to interpret the significance of these networks and practices (Trowler, 2008).

The literature regarding culture specific to universities, offers ethnographic (inductively derived such as those of Chaffee and Tierney, 1988) or structural methodological frameworks (nomothetic such as those of Berquist, 1992; McNay, 1995) as tools for in-depth investigation of organisational culture. Driven largely by developments in industry and commerce and largely within a USA setting, the earlier literature on academic culture of the 1980s focused extensively on the impact of management's role in integrating market-based policies within higher education whilst trying to decide the perceived locus of the academic residing with for example, the subject, the department, the profession or some other alternative. This approach was adopted in the UK by Becher (1994) who explored this idea of a set of core values within cognate areas and concluded that the most prestigious departments were those with a clearly defined and articulated set of values but noted that these values resided within tribes or sub-specialisms of the cognate areas rather than the cognate areas per se. Tax accountants, for example, may value expediency in stock valuation whereas management accountants may value comprehensive recording of stocks. Barnett (2000) also challenged this notion of a common, shared set of values in large universities consisting of many faculties. He concluded that the view of a "single binding characteristic that all constituent parts of the university share" must be questioned (Barnett, 2000:48). However, neither author explicitly rejects the idea of a dominant set of values shared across large parts of the organisation which could represent an organisational culture dimension. One of the few UK empirical studies

recorded in the literature, departing from the single method exploration of culture, was undertaken by Henry *et al.* (1992) and used a multi-method research design (including questionnaires and semi structured interviews) to study the values of academics at the University of Central Lancashire.

Thus the idea that organisational culture within universities would mirror developments within the industrial or commercial sectors remained unconvincing, and despite consideration of organisational culture within universities coming to pre-eminence in the early 1980s, nonetheless, the literature linking them remains scant. As Sporn (1996:41) notes, "Organisational culture in higher education management has been recognized as an important area of research by only a few authors". This paucity within the literature is perhaps a consequence of the lack of clarity and agreement amongst academics on how university culture functions within the cognate areas, the department, the faculty, the administration or the entire organisation.

A few studies worthy of note were undertaken, for example Clarke (1972) investigated the role of organisational sagas (symbols) as a unifying force in harmonising academic beliefs across internal divisions and organisational boundaries. In the USA, Dill (1982) also addressed the issue of symbolic management, arguing that university culture is developed through a set of unique characteristics and that shaping of academic culture be emphasised through the management of symbolic approaches such as rituals ("discipline-wide discussion of a symbolic which creates meaning and commitment to the institution as a whole": p314). Academic symbols, however, are frequently conceptual, ambiguous and difficult to make sense of (Alvesson, 1991). In a similar USA setting, Tierney (1988) highlighted the importance of attempting to identify core cultural dimensions of university life which administrators would then attempt to use to reorient those administrative aspects deemed out of alignment with the dominant culture. He stressed the role of leadership in shaping these cultural dimensions:-

> As decision-making contexts grow more obscure, costs increase, and resources become more difficult to allocate, leaders in higher education can

> benefit from understanding their institutions as cultural entities (Tierney (1988:5).

Thus even before the NCIHE (1997) report in the UK chaired by Dearing, there were early signs elsewhere that the role of the leader within higher education (Middlehurst, 1997) could be a critical factor in managing the litany of new changes of widening participation, new communications and information technology influencing UK higher education institutions and their cultures (Kezar and Eckel, 2002).

Organisational culture within universities in particular, has been conceptualised as shared cognitions which guide the actions and behaviour of members (Kotter and Heskett, 1992). This behaviour, they argued, influences and determines modes of operation at the strategic, tactical and operational levels of university life. At the strategic level it informs and shapes internal policies (Ball, 1990) in, for example, the decision to engage with new market sectors; at the tactical level it influences the allocation of resources in, for example, technology and people development; at the operational level it has a bearing on practitioner behaviour in, for example, teaching and assessment practice.

More recently there has been an interest in looking into universities as organisations from an organisational culture perspective. Sawbridge (1994) reported on staff experiences of centrally run staff development programmes set within a context of Becher's (1989) typology of organisational behaviour and Land (2004) reported on the role of academic development in affecting change within the strategic terrain of organisational cultures. Probably the most widely reported of these was Becher's (1989) examination of university cultures and cognate areas wherein he stressed the complexities of universities for academics who are under tension from conflicting loyalties to their cognate areas, their national and international communities, their departmental colleagues and finally the institution they work in. These developments raise a number of issues of interest to this thesis concerning for example the extent to which universities are distinctive as organisations; the extent to which they are different from business and other sectors and what implications these

have for the way we think about organisations and organisational culture within academia in particular.

Unlike previous research where the unit of analysis has tended to be directed towards the institution with a particular interest in cognate areas or structures (Silver, 2003), this thesis represents a novel attempt to assess the experiences and perceptions of the academics themselves and gauge the extent to which a particular university culture type(s) may support or inhibit the pedagogical innovative behaviour of a restricted selection of accounting[19] and management[20] academics from a representative sample of Scottish university business schools. This approach is pragmatic enough to permit focusing on how members' values developed over time and may be expressed through artefacts including language and symbolic means (Dandridge *et al.*, 1980) and may be influenced by the basic assumptions underpinning these values.

Specifically within the setting of higher education, Smart and St. John (1996) make the case for both organisational culture strength and dominant culture type as contributory features of cultural effectiveness, concluding that although organisational culture type had a distinctly stronger independent result on institutional performance than culture strength, the differences were clearer on campuses with strong, rather than weak cultures – an aspect which this research will explore.

2.11.3 Universities as Distinctive Innovating Organisations

Universities are more complex than other organisations. Dill (1982) alludes to this veiled complexity in noting that academics are part of an academic community but also shape and manage academic organisations. Clarke (1983) refines this proposition of complexity by arguing that university culture is experienced at three distinct levels: the enterprise, the profession and the cognate area. Each exerts a powerful influence on the ideology or systems of beliefs that permeate academics and academic institutions. Universities also operate under a system of governance which is different and more complex than a traditional company managerial system

[19] Accounting academics excluded those who teach finance.
[20] Management academics excluded marketing and human resource management

operating under a board of directors (Becher, 1989). In the latter, the lines of authority (and hence power), responsibility and accountability (control) tend to be straightforward and demand minimal interpretation, which tends not to be the case within university governance. Statutory authority within the university can reside with the Principal, the Senate and the Court. Yet policy is determined collegially and predicated upon common values and beliefs (Dill, 1982). Power, authority and control between the Principal, the Senate and the Court will be fluid and in many cases unclear; the real challenge for the institutional leaders is in operating within such a complex context (Sporn, 1996). In reality, universities can only work effectively if these three sources of authority recognize that ambiguities and complexities can contribute significantly to problems which can arise unless a good working relationship is negotiated between them (Tierney, 1988). In order to get some sense of the ways in which universities are distinctive, the author has in the following sections applied some of that apparatus (concepts, theories, strategies and so forth) from the general literature on organisational culture cited earlier, in order to bring some clarity to those questions which can be answered and recognise and bring to the fore those that remain unanswered.

Although organisational culture analysts have not necessarily assumed or discovered the existence of a harmonious, non-conflictual culture within industry, Sporn (1996) hints at the notion of an overall university culture when she reminds us that universities are distinctive organisations, having their own set of characteristics which determine their culture. Drawing on the work of Birnbaum (1988) and Baldridge *et al.* (1977) she acknowledges universities as heterogeneous communities with multiple objectives in terms of teaching, research, community, quality and internationalisation, each co-existing in a state of mutual tension (Sporn, 1996). They [universities] are required to meet a number of benchmarks and standards for example on quality, professional, educational and research (Bryan and Clegg, 2006) and they are predominately publicly funded, but increasingly less so than in previous years (Silver, 2003; Obenchain *et al.*, 2002). In terms of classification within the sector, Sawbridge (1996:4) points to some differences between the "two wings of higher education" - those within the "older" university sector and those in the "former polytechnic" sector - and highlights differences in staff-student ratios,

decision making and management structures within each. Her evidence suggests that:

> hierarchical forms of decision-making were, and still are, more in evidence in the former polytechnic sector because of the pre-eminence and composition of the Governing Body and historical associations with local authority decision-making. (Sawbridge (1996:5)

Structurally, universities comprise highly complex social conclaves generally based around cognate areas and are maintained and developed by the overt conduct of their members including academics, support staff and others (Becher, 1989). In the UK, higher education institutions typically adopt a hierarchical structure consisting of a Principal or Vice Chancellor at the head directly supported by a senior executive committee, beneath which would be Faculty Deans, Heads of School and Heads of Departments (Dill, 1982). These institutions also manifest organisational styles similar to those described by Handy (1976 – see section 2.6) in terms of power, role, task, and person raised earlier. In applying Handy's analysis to universities, *role* culture is apparent in those centralised functional departments having responsibility for finance, human resource management, teaching quality, student support and so forth. *Task* culture can be seen in project work, for example when developing new educational courses or when preparing for external quality audits on teaching or research. The traditional liberal democratic or collegiate atmosphere is representative of *person* culture from Handy's model, and is particularly evident in the grouping of people into teaching or research clusters. *Power* is conferred on individuals who display competence in motivating, guiding, and integrating research and/or teaching teams. Due to the unique nature of the university, it is often difficult to disassociate power culture from role culture. In the former, power is derived from either expert knowledge or from status, as in the case of professorial title, and is often synonymous with leadership. In terms of this model, higher education institutions can generally be associated with the power/person hybrid culture particularly at faculty and departmental level. This is typically found where core expertise is embedded in a few key workers, as for example in legal and accounting practices. Handy maintained that these cultural forms have a significant affect on determining the environment for innovation to take place and do so in ways that influence morale, levels of motivation and propensity to adapt and change (Handy, 1976). They do this, he maintains, through the expression and articulation of:

> ...deep seated beliefs about the way work should be organised, the way authority should be exercised, people rewarded, people controlled. What are the degrees of formalisation required? How much planning and how far ahead? What combination of obedience and initiative is looked for in subordinates? Do work hours matter, or dress, or personal eccentricities? (Handy, 1976:177).

All of these, Handy reminds us, are part of organisational culture in that they influence to varying degrees the beliefs, values, patterns of behaviour and the individual artefacts they work and live with. Thus Handy's early (1976) definition which embraced artefacts, values and basic assumptions set the foundation for Schein's subsequent (1984) offering – and is the one adopted for this thesis. In a synthesis of 100 previous studies within organisational behaviour, sociology and anthropology, Deshpande *et al.* (1993) defined four generic organisational culture forms (market, adhocracy, clan and hierarchical culture) and suggest that certain cultural forms (market and adhocracy) score high in enabling innovativeness than do clan and hierarchical types. A study within Sweden by Ekval (1993) supports Deshpande's link between culture and innovativeness. Within the academic terrain, Becher (1989) not unlike Handy, characterised the idealised university culture(s) within one of four main patterns of organisational behaviour: Hierarchical, Collegial, Anarchical and Political. Becher saw hierarchical forms of university characterised by clear command structures and specified roles, underpinned by immutable systems, an overabundance of bureaucratic regulations and procedures. Sawbridge (1996) considered this form of organisation to be representative of the modern[7] universities, which had a stronger association with the corporate and business sectors and had in some ways imitated these management structures and practices. This variety of organisation culture was counterbalanced by a second category, the *collegial* type of university in which individuals have a high level of personal discretion and autonomy with equality in decision making and authority ratified from the academe. Central to the notion of collegiality was a belief that scholars subscribe to an unwritten pact of mutual respect and recognition of each other's intellectual independence and belief in the disinvested search for truth (Kogan, 2002; Clarke, 1983) and to pursue knowledge irrespective of position or status; a notion founded in

[7] Modern universities – those universities in Scotland officially designated university status in the 20th century, post 1992.

the ancient universities (Dill, 1982; Newman, 1959). This high degree of independence, a concern for dis-organisation over organisation and a sense of loyalty to their academic cognate area at national and international levels, led to Becher's (1989) third form, the *anarchical* culture. Academics in universities exhibiting characteristics associated with this cultural type can retain a respectable distance between themselves and management because of the high level of individual autonomy they enjoy and because their reference group is national and international rather than local. Gouldner (1979) noted, however, the important difference between those researchers whose status conveys an aura of privilege and autonomy within managed organisations and those other "locals" who are managed and treated as foot soldiers. Universities where members move in and out of the decision making arena as their needs arise and whose structures are organised in such a way as to let this happen are classified by Becher (1989) as operating within a *political* cultural form. These types of cultural forms, Becher (1989) suggested, were usually conflictive with political expediency, compromise and short-term vision ruling the day. Birnbaum (1988) argued that those departments who attract the best students and the most research and teaching income wielded the most power. Sawbridge (1996) refined these propositions asserting that political power as a consequence of decision-making lay with those who are perceived to be influential people within the institution. Becher (1989) however, highlighted the rarity of all four cultural forms co-existing at the same time in one university and suggested that hierarchy and collegial tended to operate more in the foreground, evidenced by formal committee structures of the university whilst anarchical and political tended be found more in background operations. These rather general positions can be empirically tested, as this thesis aims to do, by determining their applicability to a representative sample of the Scottish university sector as a potential supporter/inhibitor of pedagogical innovation.

Although all four cultural forms outlined above represent cultural archetypes and are unlikely to be found in their pure form in any one organisation, they do serve as a useful framework to benchmark academic organisations against in order to highlight tendencies towards one type or a configuration of forms. Even though a single dominant culture may prevail, it is the appropriateness of fit of the overall cultural

profile within its setting which is considered important (NcNay, 1995). Recent attempts at studying organisational culture within universities have produced conflicting views about the notion of unitary cultures within this sector. A noteworthy qualitative UK study undertaken by Silver (2003) found no single distinctive organisational culture evident in UK universities and concluded that universities were complex, multi-cultural organisations. In the USA, Obenchain *et al.* (2002:27) found the "Clan culture remains the most frequent" type but also reported that the Market culture had replaced Adhocracy as the second most frequently occurring type, suggesting that institutions are switching to working with those dominant values which are associated with competition and goal achievement. In the UK, Becher (1989) argued Universities consisted of subunits (departments) populated by knowledge experts and professionals who exhibited a high degree of independence over their role and activities and may well develop their own subcultures. These activities Sporn (1996) pointed out were partly an expression of their cultural values, beliefs and attitudes held by the individual or group (symbolic) and partly a response to their contractual agreement with the institution (instrumental). Clarke (1983) in the USA and Becher (1990) introduced the proposition that academics' values, beliefs and attitudes may be more attuned to their cognate areas or subject than to those of the institution, resulting in a continual tension of allegiances. However, sensitive and responsible management of this cultural milieux can encourage a strong sense of cultural commitment to structural arrangements, strategic plans and cultural values (Lorsch, 1986). The strength of culture will be determined by how well these three elements fuse together (Cameron and Freeman, 1991).

Postmodernist theorists may consider these (and other prescriptive) models as an attempt by organisation theorists to develop models and frameworks which generate greater societal order with a view to making progress in an increasingly unpredictable world (Hancock and Tyler, 2001). Acknowledging this view, Hassard (1993) made the case that in postmodernists' view, disorganisation, instability and flexibility are conditions most likely to support an ability to tolerate this level of unpredictability. The archetypal models are nonetheless helpful in supporting inquiry into what is readily accepted as a complex area of research.

However, the extent to which these models of culture are valid for assessing the relationship between university culture and pedagogical innovation and the extent to which they apply to universities as innovative environments are relevant questions for this study and will be the focus for this next section.

2.11.4 Universities as Innovative Environments

A number of factors have influenced the case for developing a better understanding of innovation with the university sector. First, there is a traditional view of universities as a group of somewhat loosely managed organisations wherein it is difficult to see where the locus of control and power are located. A seminal work by Hefferlin (1969) in his study of 110 colleges and universities in the USA described universities as essentially devices for the conserving and sustaining of culture and argued that because they have a long tradition of custom and precedent this context is not conducive for encouraging innovative behaviour. Clark (1987) described them as a form of organisation whose personality is metaphorically referred to as 'organised anarchy', where no one is in charge and control resides in autonomy seeking subgroups generally competing with each other. Yet in many ways, universities are refreshingly different from other forms of organisation in their structures, missions, responsibilities with their stakeholder partners and their products. Varying from institution to institution, university academics have not had to worry in the same way as employees in other sectors, about what head office (at the Department of Education) think or believe about proposed innovative developments (Hannan and Silver, 2000). Included in the latter for many academics will be pedagogical innovation, which can take place at a number of different levels (noted earlier in West and Farr's 1990 definition of organisational innovation) from the individual, course, degree programme, department, faculty and institution. In some cases outputs from innovations have limited transferability to other courses/programmes/levels and for a variety of reasons; an accounting degree, for example is not the same as an applied health degree or a history degree. Yet innovations such as the introduction of computer based learning at course or individual level may have staff development implications for other colleagues working on the same kind of courses at the same level in the same subject area.

Second, although the historical genesis of innovative learning, teaching and assessment practices within higher education may have been perceived as the fragmented creations of a few inspired individuals, it has of recent times, become more focused and targeted towards specific strategies and outcomes from institutional or government sponsored policies and funding (Silver, 1998). However, given the increasing number of competing demands on academics, Taylor (1998) reminds us that the challenge is to move beyond individual innovation to innovation at the institutional level, and a study of this nature would require some comment to be made on the organisational cultural type of the university in supporting innovative behaviour. Smart and St. John (1996) made the case (section 2.11.2) for organisational culture strength and dominant culture forms as aspects of effectiveness within higher education culture. In assessing the role of university culture on affecting aspects of organisational performance (of which innovations in pedagogy may be judged one such aspect), they claim for the alignment between espoused and actual practices which distinguishes strong cultures and affects enhanced organisational performance, such as innovative pedagogy developments like self- and peer-assessment. Strong culture, they argue "...facilitates the development of consensus, the exchange of information and the ability to carry out co-ordinated actions" (Smart and St. John, 1996: 220). What cultural forms or types therefore (reported from the literature) are more inclined to support or inhibit innovations in higher education? In a substantial and rare study linking these two phenomena, Obenchain *et al.* (2002) concluded that the cultural forms of Adhocracy, Market and Balanced (no dominant type) were associated with the implementation of innovations in higher education, whereas Clan and Hierarchical were not. If these conclusions are replicable within a UK context where universities are traditionally perceived as "Clannish" and "Hierarchical" organisations (Cameron and Quinn, 1999) and therefore less strongly associated with directed and guided innovation (Hannan and Silver, 2000), what therefore would motivate individual academics to be innovative in aspects of pedagogy such as self- and peer-assessment within their university cultural context? This question will form the central focus for the next section.

2.12 Pedagogical Innovation and Higher Education

Innovation has become increasingly important within the university sector for a number of reasons, including decreasing public funding, changing student demographics and new technology (Bryan and Clegg, 2006; Obenchain *et al.*, 2002). Research evidence outside this sector appears to suggest that organisational culture can be linked to innovativeness and that market and adhocracy culture forms are more able to enhance innovation than those of clan and hierarchy culture forms (Deshpande *et al.*, 1993). However, as demonstrated by Obenchain *et al.* (2002), the establishment of a link between organisational culture and innovation within an education context and specifically with a pedagogical focus has been recognised as important by only a few authors. In examining these phenomena the usual cautionary note would apply about being too absolute or prescriptive about this appraisal of the literature. It is acknowledged that the distinctive nature of universities means that innovation in teaching and assessment practices can be implemented at the individual level and go largely unnoticed at the departmental or institutional level. In addition, findings from past and current research into innovation (Obenchain *et al.*, 2002; Van Vught, 1989) point to the existence of a relationship between organisational culture and organisational structure which influences innovative behaviour but does not address the pedagogy dimension. Thus a key objective of this thesis will be to address this relational gap.

Innovations in pedagogy broadly fall under the two main headings of products such as computer-based learning packages or processes such as problem-based learning approaches (Hannan *et al.*, 1997). This section of the chapter examines theories and evidence from the range of literature applicable to the concept of innovation within the higher education community. In doing so it explores the impact of, and response to, a number of support/inhibitor factors, categorised here as: drivers[8] , determinants[9], moderators[10] and inhibitors[11], on one aspect of pedagogical

[8] Indicative (not definitive) drivers in the context of university academe could be institutional (policy directives), departmental (teaching teams, quality groups), individual (increased class sizes, personal beliefs in changing/enhancing student learning methods, promotion prospects

[9] Determinant – a factor or number of factors collectively influencing the outcome of an initiative e.g. an individual's perception, attitudes or institutional climate.

[10] Moderator – a factor which regulates or restrains ideas or processes such as committees, colleagues, finance.

innovation, and considers how these influence two groups of university academics to innovate, using self- and peer-assessment as the example of pedagogical innovation.

2.12.1 Influences on Pedagogical Innovation

Innovation in Higher Education has traditionally been by and large a response to a particular problem, real or perceived, or aimed at bringing about, but not necessarily achieving, some form of enhancement. Since the mid 1980s a number of environmental forces (drivers), together with the development and application of better learning theories, have exerted influence on HE institutions and UK academics to change the way they view their primary functions, including the process of undergraduate education (Sneddon and Kremer, 1994). What may be considered innovative is particularly important to delineate, as what is perceived as radically innovative in one institution, department or individual may be viewed as incremental or routine innovation in another (Hounsell *et al.*, 2007). In a pedagogical context, Silver (1999) maintained that innovation can be very wide-ranging to include the use of educational technology, curriculum innovation, open and other strategies of learning. Some innovations, however, such as those at course level, would only have implications for those working in the same course at the same level; others such as new tools or measures to deal with plagiarism, would have a more widespread effect. Amid these developments however, assessment, though integral for many of these initiatives, has proved slow to change and embrace innovative techniques (Murphy, cited in Bryan and Clegg, 2006).

In terms of those external drivers which have exerted a strong influence on aspects of pedagogical innovation, the Dearing report on higher education highlighted that a national policy to stimulate innovation in teaching and learning was desirable (NCIHE, 1997). It stipulated that "Innovation requires going beyond the usual and engaging in an imaginative leap" (NCIHE, 1997, para 66). However, the report offered no guidance as to what constitutes "usual" or "imaginative" and as an operational tool, has limited applicability for this thesis. In spite of this and similar

[11] Inhibitors included barriers such as university rules and regulations, institutional attitudes, the conflicting roles of most schools, departmental positions, the conflicting demands on faculty time, attitudinal reluctance of faculty to accept change to assessment practices, students thoughts and feelings towards proposed changes in assessment practices

proclamations, Land (2005) focusing on pedagogical innovation, reminds us that we should not underestimate the undermining effects on assessment practices resulting from external drivers such as increasing student numbers or government imperatives such as demands for improved quality and accountability set within a context of a static/declining resource base. Yet few authors have gone on to prescribe which methods of assessment should be changed.

Institutional factors driving pedagogical innovation can include new technological systems, as in the adoption of a virtual learning environment or the introduction of modularisation; individual factors may be the desire to encourage student self reflection (Kanter, 1983). Silver (1998) concurred with these views and noted that the motives for undertaking innovations were as varied as the innovations themselves. The impetus, he argued, can originate from individual academics wishing to experiment with their lecture style, or from the university "centre" seeking to encourage lecturing staff to become more efficient in teaching and assessment (Land, 2005; Davies, 2000) in an attempt to reduce costs. Pressure may also come from employers and/or government bodies who request more useful graduates. For example, Boys *et al.* (1988) investigating the value of education in preparing for the work environment, attempted to elicit the reasons for curriculum change. They concluded that changes arose from a range of circumstances and events including course developments, student needs and demands including personal and transferable skills, efficiencies within curricula, changes in cognate area boundaries and a refocusing from abstract academic concepts to practical knowledge and skills. This was closely followed by pressures from employers for more effective graduates, conclusions also supported by Sneddon and Kremmer, (1994). Although these pressures in themselves do not guarantee innovation in teaching practice, when combined, they amount to a powerful force for spawning creative thought and encouraging the adoption of new innovative practices.

In a recent survey of Deans and Heads of Departments of UK business schools to identify their "big issues", assessment was identified as a key concern, but in particular the issues of maintaining the validity of assessments whilst reducing the burden on staff workload and providing more opportunities for work-based and peer

assessment (Kaye and Hawkridge, 2003). One conclusion of the authors noted that "Innovations in assessment were seldom listed, yet they were clearly wanted" (Kay and Hawkridge, 2003:198). Yet in a survey by Hounsell *et al.* (2007) Business and Management emerges as the subject grouping with the highest number of recorded documented innovations in assessment. Roffe (1998) sheds some light into this perceived lacuna of innovative activity in higher education establishments, suggesting that innovation in public sector organisations is more difficult to stimulate than in commerce due to the different culture and values adopted by the various organisational groups and subgroups. The picture emerging from these reported cases may be attributed to the sources of data collected: one from policy managers - Deans and Heads of Department, the other from policy implementers - lecturers and innovators involved in teaching.

However, Watson points out, the environment in which business schools operate (most of which house the academic units of Accounting, Management and others) has become increasingly aggressive with competition for students and income generation intensifying whilst interest in collegiate and collaborative ventures becoming less so (Watson, 2003). Consequently, interest and commitment to sharing success stories in innovations across different schools within the same university may be understandable, but for Deans of Schools and Heads of Departments not to be aware of such developments, we must consider the organisational culture within these schools and departments and specific attitudes to change in HE organisations. Riley (2002) contends that innovation can be as simple as a digital variation of previous practice, whereas Albers-Miller *et al.* (2001) use a more eclectic definition of innovation:

> ...a practice which is worthy of emulation and has not yet been put into use by a significant number of colleges (Albers-Miller, 2001:250)

At an individual level, Albers-Miller *et al.* (2001) explored the perceptions of educational innovation among marketing educators in the USA. Their analysis gave some insight into the variety of activities that were viewed as being innovative and demonstrated that the above definition of innovation was acceptable to those academics surveyed. The definition implies that innovation was perceived to be

untried by the adopters, adds value and therefore is worthy of implementation in that it offers something new and different from what had gone on before to the recipients in their situation. West and Farr (1990) offer an explicit conceptualisation when they define innovation as:

> The intentional introduction and application within a role, group or organization of ideas, processes, products and procedures new to the relevant unit of adoption, designed to significantly benefit the individual, the group, organization or wider society (West and Farr, 1990:9).

This is a helpful definition, broad enough to include the range of innovative dimensions referred to by Silver (1998) yet pragmatic enough to allow practical adoption. Based on this rationale the above definition of educational innovation has been adopted for use in this thesis.

In undertaking innovative pedagogical development (including assessment), the most frequently reported advice offered by innovators which determined the level of success, stressed the need for sound preparation and training for staff and students (Topping, 1998; Van Vught, 1989) followed by clear and explicit communication of the reasons behind student involvement ensuring any innovation was trialled prior to full implementation (Rust *et al.,* 2003). In addition, Kirkton (1984:142) argued that in order to gain the respect of colleagues, innovators must have "know-how" and have "general capacity" which he defined as qualities of leadership and management and had a moderating influence of success levels. Albeit these appear a plausible and sensible list of factors to lead to successful innovation, they do not address the basic problem of how to attract (particularly new or inexperienced) academics to engage with these types of pedagogical innovation. Albers-Miller *et al.* (2001) argued that the motivations to innovate in areas like pedagogy were countless and wide-ranging and can be intrinsic[12], extrinsic and/or down to self-enrichment (Amabile, 1988) or may come from both internal and external bodies (Dochy and McDowell, 1997). Innovative ideas, processes, products or procedures may be self imposed, group imposed from a department or university committee, or externally influenced by government departments such as the Department for Education and Skills, or by organisations such as the Higher Education Academy (Silver *et al.,*1997).

[12] Intrinsic - such as that attributed to the personal altruism of the academic involved (Hannan *et al.*, 1999)

In an attempt to determine what makes innovation functional for the individual within UK higher education, Hannan *et al.* (1999) undertook a 2-year research project involving 221 staff across a range of disciplines within 15 universities. Thirty four out of 103 interviewees reported the main reasons for their involvement in innovation were student-centred (i.e. concerned with improving student learning and yield better feedback). Thirty one cited the main reasons for their involvement to be staff-centred (by needing to respond to changes in student diversity and increasing student numbers and a need to be more efficient with these). Eleven reported the main reasons for their involvement to be the need to adjust teaching and learning methods to deal with reorganisation, for example as a response to modularisation. Twenty one reported their reason for involvement was driven by a need to respond to demands by external agencies such as employers, professional bodies and external Quality agencies.

Thus the state of affairs with regard to the support and inhibitors of pedagogical innovation appears diverse and value laden and can be affected by a number of institutional, departmental or individual factors. Embarking on pedagogical innovation will also be influenced by the nature of that innovation, in the sense of what it impacts on, what colleagues are involved, student reaction, the innovator's past experience of innovating, the perceived category of risk of the innovation and the will of the institution to support or obstruct it. These support/inhibitor matters therefore form the theme for the next section of the thesis.

2.12.2 Support of /Inhibitors to Successful Innovation

Just as important as understanding the factors that drive and determine pedagogical innovation, is the recognition of those factors which support or inhibit pedagogical innovation. Of those which may inhibit or moderate innovative behaviour in pedagogy developments, the general literature on change and innovation points to a common feeling of resistance to change resulting from a feeling of general disruption to habitual and comfortable work patterns. An early work pointing toward some potential generic inhibitors to the introduction of innovative developments in pedagogy (the introduction of PBL in Australian medical schools) was reported by

Thomson and Williams (1985). It included the following factors: institutional complacency, the conflicting roles of a medical school, the conflicting demands on faculty time, the reluctance of staff to change teaching styles and students learning styles, resistance to change the established methods of assessment and the potential expense involved. More recently Gibbs (cited in Bryan and Clegg, 2006) pointed to student assessment as one of the challenges facing university practitioners in the UK and echoed in the USA, Australia and New Zealand and noted that the inhibitors to innovation in assessment include increasing student numbers and class sizes, reward systems that continue to encourage research over teaching and a political agenda that emphasises product over process. Some of these inhibitors may be well founded on genuine concerns related to standards, change for the sake of it, and costs. However, the issue of intolerance towards new practices which would distract academics away from other more prestigious activities like research should not be under-estimated (Gibbs, cited in Bryan and Clegg, 2006). Yet it remains unclear as to precisely where, innovators (institutional, departmental or individual level) encounter their greatest inhibitor. Hannan *et al.* (1999) outlined an array of factors clearly presenting themselves as moderators of innovative behaviour in pedagogy including - the low esteem of teaching and learning compared to research (individual); the lack of seed corn funding (institutional); centralised policy making (institutional), lack of support/sympathy from colleagues and those senior colleagues in positions of authority (departmental); lack of innovative experience (individual); a perception of innovators in a minority category (individual); staff attitudes based on traditional practice compounded with student resistance to change (individual). They also note that innovation can be frustrated if institutional procedures, support mechanisms or other policies or action plans suppress, block or obstruct individual innovative ideas. By and large this work (Hannan *et al.,* 1999) found innovators and innovation projects in pedagogy to be remote, perceived as low status and looked on with suspicion. These conclusions echoed the finding of Kezar and Eckel (2002) who also reported the lack of support from colleagues for those involved in innovating – a feature particularly true of the research-driven universities. Dill (1982) pointed towards the early migration of academics towards discipline-based careers, resulting in a declining engagement with "teaching, counselling and administration" (Dill, 1982:312). This specialisation, particularly in research, effected a lessening of social

ties with disciplinary colleagues and engagement with core activities of the teaching craft. The specific impact of these support/inhibitor factors on pedagogical innovation will be assessed in this next section.

2.12.3 Pedagogical Innovation in Assessment

Within the area of innovation in pedagogy, a number of key directions can be identified within the higher education literature, such as the steady growth of e-learning, problem based learning, group learning, with each remaining on a relatively stable trajectory (Bryan and Clegg, 2006; Hounsell *et al.*, 1996; Nightingale *et al.*, 1996; Hounsell, 2007; Silver, 1998). In the midst of these innovations in pedagogy Murphy points out:

> ...one area across standard university courses was very slow to change and innovate: the way in which students in higher education are assessed (Murphy, 2006:38)

An earlier study by Berg and Östergren (1979) into innovations and innovative processes with Swedish higher education had also concluded that one of the most alarming qualities from the body of empirical work into pedagogical innovation at that point was the extreme variability among the findings. What appeared important in one study proved "considerably less important, not important at all, or even inversely important in another study" (Berg and Östergren, 1979:261) leading to the conclusion that there was no single panacea to be applied in the pursuit of successful pedagogical innovation. In a UK survey of examples of innovation from business education, Kay and Hawkridge (2003) identified eleven such exemplar cases, the majority of which were from accounting and management cognate areas. However, the relatively low instances from this survey cannot be considered representative or indicative of the state of pedagogical innovation within UK business, management and accounting education. It may indicate that some innovative work has taken place but it does not signify to what extent the innovations are considered important and by whom, or indeed whether they are imitated/adopted or adapted by others in the sector. There is also some conflicting evidence from a more recent comprehensive analytical review of journal articles by Hounsell *et al.* (2007) on innovative assessment. This review across the full range of the Higher Education Academy's 24

subject centres[13] (excluding Medicine) concluded that innovations in assessment were well represented in the research findings, with 10% of the total references to publications on innovative assessment (N=317) originating from the cognate areas of business, management accountancy and finance. However, the review was not specifically directed towards the role of university culture in influencing these reported innovations. Therefore there is persuasive evidence to support current research in this area.

2.12.4 Self- and peer-assessment as Pedagogical Innovation

Unlike many of the reviews mentioned above, some of which ask people to comment about assessment trends in general (Gibbs, in Bryan and Clegg, 2006) this thesis adopts a micro-level standpoint by looking at self-and peer-assessment *peer-tutoring, mentoring or assessment* as one specific example of an innovative theme, which was identified as a component of category 10 by Hannan *et al.* (2000) and is shown in Table 2.6 below.

[13] The Higher Education Academy Subject Centres can be found at: http://www.heacademy.ac.uk/ourwork/networks/subjectcentres [Last accessed 12 April 2008]

Table 2.6 Types of Pedagogical Innovations (Hannan *et al.* 2000:7)

	Type of Innovation	Frequency
1	Making use of computers (Web, Internet, CAL, CBL,CMC)	77
2	Skills (personal, transferable, key, core, employability, communications, problem solving)	45
3	Team projects (cooperation and collaboration)	40
4	Student presentations (individual and group)	16
5	Interactive seminars or lectures	16
6	Work-based learning	16
7	Problem-based learning (PBL)	16
8	Resource-based learning (packages, booklets)	14
9	Distance learning or open learning	12
10	Peer-tutoring, mentoring, or assessment	9
11	Others (e.g. reflective practice, learning journals/portfolios,	18

It was from within this category that the area of assessment was chosen and refined to focus on *self- and peer*-assessment. Self-assessment has been defined as the ability of a student to observe, analyse and judge her/his performance on the basis of explicit, public criteria and establish how this can be adopted and improved upon (Mentkowski, 2006; Boud and Falchikov, 1989). Peer-assessment is defined here as student involvement in assessing the work of their peers (Falchikov, 1995). Both systems can be considered as techniques designed to benefit students' critical faculties and ultimately improve their marketability to employers. These forms of assessment offer a potentially interesting area of pedagogical innovation in that whilst they feature widely in innovative initiatives over the last two decades, there were scant frequencies reported in Hannan *et al.* (2000) as can be seen in Table 2.6. Self- and peer-assessment were selected from within category 10 for three reasons. Firstly they form an integral component in the development of the autonomous learner (Boud *et al.*, 2001). Dearing noted individuals will increasingly need to "... manage their own development and learning throughout life" (NCIHE, 1997:12). With the 1990s confirming an increasing body of international literature on the theme of independent study (Boud, 1981; Boud, 1992; MacFarlane Report, (CSUP,

1993)) it is clear from the corpus of work on self- and peer-assessment that student involvement in these areas as a means of developing independent learners was conspicuously absent. Magin and Churches (1988) argued one of the most important reasons for developing students as autonomous learners was to expand their ability to form realistic judgements of their own (and thus others) performance and to learning. A major justification for engaging students in self- and peer-assessment exercises was the potential they offered to nurture these skills (Brown *et al.,* 1994). Secondly, self- and peer-assessment are challenging techniques for academics and students alike where the existing perception is held that teachers do the teaching and the marking (Kaye, in Bryan and Clegg, 2006). The justification for focusing on student self- and peer-assessment as an example of innovative pedagogical practice relates to the tension inherent in the belief held by a number of students and academics alike that for the assurance of national standards, academics alone (and not students) must undertake the judging and marking of student work. This situation reflects the wider tension by academics on assessment, centred on the summative/formative debate where summative assessment symbolises the guaranteeing of academic standards (high stakes assessment) whereas formative assessment is associated with the enhancement of student learning and considered low stakes assessment (Taras, 2002).

Thirdly, self- and peer-assessment as areas of pedagogical innovation centre upon the idea that although the claimed benefits of these techniques have been widely referred to in the literature over the two decades (see for example Gibbs, cited in Bryan and Clegg, 2006; Dochy and McDowell, 1997; Falchikov, 2005) they appear infrequently within the reported practices of subject disciplines found in most business schools (Hannan *et al.,* 2000; Hounsell, 1996; Kaye and Hawkridge, 2003; Bryan and Clegg, 2006). For example, the study by Hounsell (1996) specifically addressing assessment strategies and practice within Scottish higher education revealed a total of 20 cases involving students in assessment, comprising student self assessment (six entries) and student peer assessment, mainly of group work or feedback provision (fourteen entries) from HE institutions including four entries from colleges of education and one from a University college. Although a number of cases of peer assessment being used for formative purposes were evident, no single case of peer

assessment for summative grading was reported. It is a central argument of this thesis therefore, that initiatives in the area of self- and peer-assessment, though featuring regularly in the general educational literature over the last two decades, have been reported less-so in cognate areas typically found in UK business schools such as accounting and management studies. Where cases have been identified throughout the literature, some of that evidence has produced conflicting conclusions on the nature and scope of use. Thus the reasons for this difference are potentially challenging areas for researchers.

A central research question for this thesis, therefore, centres on investigating how aspects of institutional culture have influenced this area of innovative practice. Fundamental to this inquiry will be the role of academics as innovators and exploring the relationship between university culture and this group, and this will form the basis for the next section.

2.13 Supporting/Inhibiting Innovation in Universities

There is some contrasting evidence to suggest that reward structures encourage innovative effort and activity (Tesluk *et al.,* 1997). There is also evidence from the extant literature to suggest a clear aspiration for pedagogical innovation. However, there appears to be a shortage of research on the extent to which reward and support mechanisms are in place to encourage changes in behaviour and organisational action in pedagogical innovation. Albers-Miller *et al.* (2001) for example, found that institutional reward schemes did not motivate staff to engage in innovative practice. Rather, their results suggested that the innovation process was stimulated intrinsically[14] and that institutional rewards[15] fell well below the credit that Faculty believe should be given. McLoughlin (2000) and Sneddon and Kremer (1994) argue along similar lines. These rewards, both intrinsic and extrinsic[16], are unlikely to be obtained without incurring some costs. Cheung (1999) makes the case that such costs fall on academic staff and are likely to include self-awareness, problem solving skills, self-reflection, effort and the courage to take the risks and accept the failures.

[14] Intrinsic - such as that attributed with the personal altruism of the academic involved (Hannan *et al.*, 1999).
[15] Formal acknowledgement with a certificate, prize or scholarship.
[16] For example Teaching Research and Development grants as in funded by the HEA-BMAF subject Centre

Silver (1999) also suggests that academics who engage in innovative practices may risk their personal and professional reputations – a risk which many are not prepared to take. Whilst the allocation of the academic's time is therefore necessary to stimulate and deliver innovation, time spent on teaching means less time available to spend on research (and vice versa). This dichotomy has often led to the good research/ bad teaching paradox and although Casar (2000) attempted to prove this need not always be the case, the prioritisation of academics' time remains an issue with regards to both the Research Assessment Exercise (RAE) submissions and promotion (Clegg and Bryan, 2006). Silver (1999) supports this position and acknowledged that many universities promote their staff based on their publications and the amount of research funding they attract. Thus, Sneddon and Kremer (1994) argue, if universities want to see real improvements in the quality of teaching they must demonstrate that these reward and support mechanisms have real worth and value by including pedagogical innovation, such as assessment in their reward and promotion practices, even though such innovations carry an associated high degree of risk for both the institution and the academic community.

2.14 Researcher's Conceptual Model

This chapter presented a critical analysis and evaluation of the literature pertaining to organisational culture, innovation theory and self- and peer-assessment. To gauge interviewees' experiences and perceptions on the influence of organisational culture on pedagogical innovative activity, the conceptual model developed which guided and operationalised this study, was an adapted form of Schein's (1985) model of organisational culture and the distillation of a number of other theoretical frameworks and concepts. The final model deployed, therefore, is a synthesised framework devised from this literature and is shown in Fig 2.3

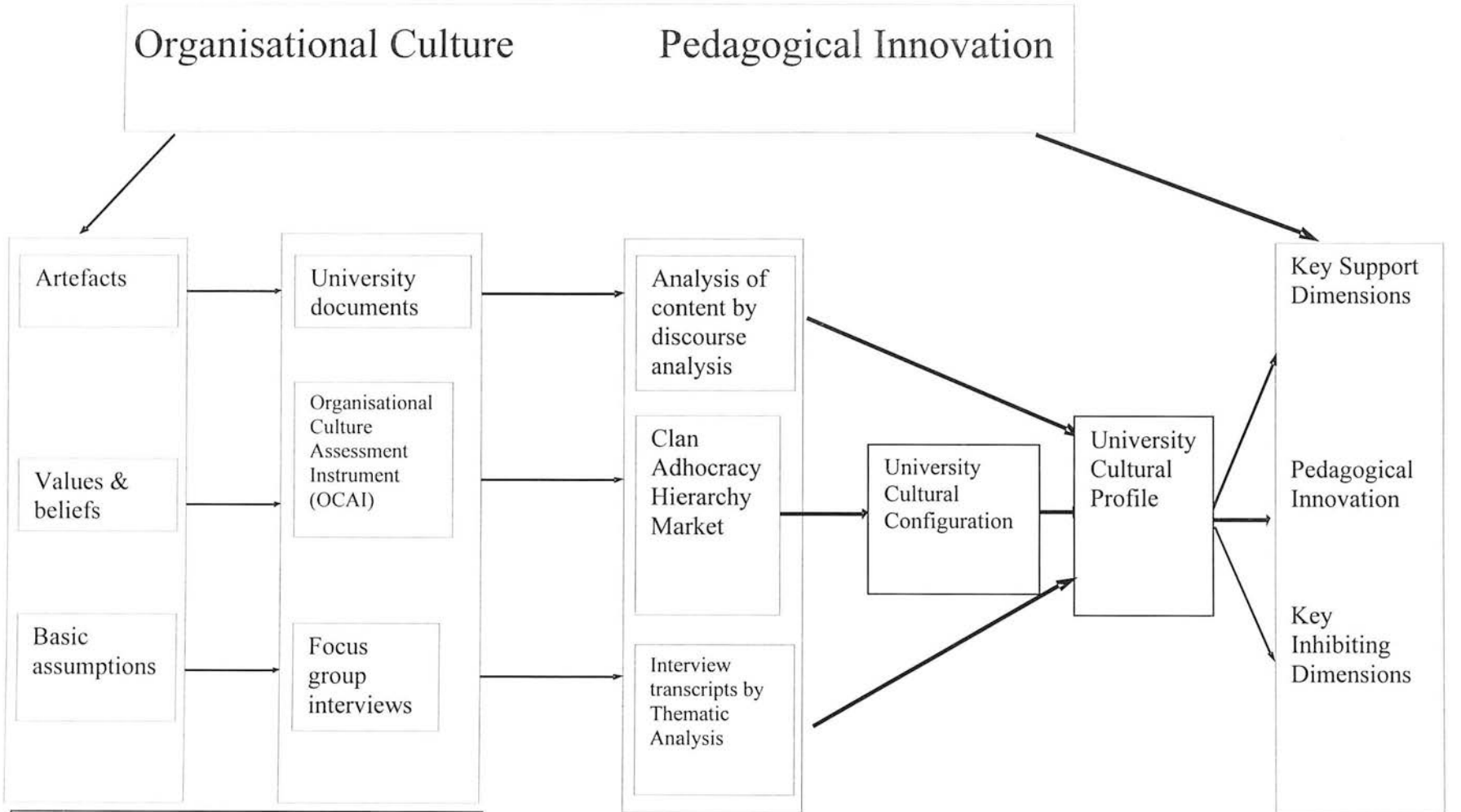


Figure 2.3 Researcher's Conceptual Model

This will be used in conjunction with a number of dimensions of innovation (summarised in Table 2.5) to compare self- and peer-assessment practice across two cognate areas and across three contrasting categories of university. The conceptual framework developed for undertaking this aspect of the study is outlined in section 3.3.2.2 and summarised in Table 3.5 in the following chapter.

2.15 Chapter Summary

Organisation culture(s) interact with, and therefore influence, the structures, processes, systems, policies and actions of organisations such as universities. This influence will be affected by the range of culture(s) and the strength and congruence of the dominant culture(s). In doing so, these cultures will have a bearing on the academic community's adaptive capacity and propensity to innovate in pedagogical areas like self- and peer-assessment. Innovation and creativity are integral components of university life and are reflected to varying degrees in pedagogical development including assessment. Although a number of stakeholders espouse the long-term benefits of students being competent in self- and peer-assessment, a number of factors co-exist which support/inhibit the uptake of these relatively innovative forms of self development. Key support factors are the environment, commitment and involvement of senior management. Key drivers include: increasing diversity and student numbers, a desire to re-craft assessment instruments, a response to university policy, a perception of improved quality of student work, a sense that it may lead to greater student commitment/responsibility or that it may improve the feedback to the students, or institutional investment in new IT infrastructure/tools. Key moderator factors include the lack of time available, fear of lack of support either from colleagues, students or the establishment; or the individual's personal agenda in research. Key inhibitor factors include: for innovation to be successful management's role is to facilitate innovation and creativity, be committed and involved by removing inhibitors to innovative and creative activity, building the environment, systems and procedures which encourage and support these, shaping and developing a culture of encouraging and rewarding both high risk and low risk initiatives to in innovative behaviour of the organisation. To determine the level of pedagogical innovative activity, the approach adopted to operationalise the study will use an adapted form of Schein's (1985) model of

organisational culture. This will be used in conjunction with a number of dimensions of innovation to compare self- and peer-assessment practice across two cognate areas and across three contrasting categories of university.

It is acknowledged that the adoption of different working definitions of organisational culture, innovation and self- and peer-assessment could yield different research questions, use research designs and most likely elicit different conclusions to the ones presented subsequently in this thesis. In order to pursue the aim of the thesis, the following Research Questions are developed as a conclusion of the literature review, namely:

Research Question 1: What range of student self- and peer-assessment systems are being/have been adopted by accounting and management academics within the university sector in Scotland.

This research question will be addressed by an examination of the practices of student self- and peer-assessment by those academics involved and will attempt to trace any significant differences between institutional adopters of peer assessment to a cultural dimension.

Research Question 2: What influences (support/inhibit) accounting and management academics to introduce pedagogical innovation such as self- and peer-assessment?

The debate here surrounds the range of intrinsic and extrinsic factors which influence academics to use (or not use) self- and peer-assessment. Thus part of the research will be directed towards discovering how accounting and management academics not using peer assessment respond to the idea of introducing peer assessment into their cognate areas, in terms of: what would stimulate or encourage them; in what areas would they adopt it and why; what inhibits them from adopting the techniques in a formative or summative way?

Research Question 3: Deploying a conceptual adaptation of Schein's (1984) model and taking account of more recent developments in the literature, do university cultural factors influence pedagogical innovation?

This question explores the significance of university cultural factors in supporting/inhibiting innovations such as student self- and peer-assessment within the settings surveyed. As well as identifying those key dimensions from the extant literature reported to stimulate/inhibit academics to adopt/not adopt self- and peer-assessment techniques, the research will also be directed towards discovering how accounting and management academics not using either technique respond to the idea of introducing these into their assessment strategies. The objective here is to explore the means/measures necessary to encourage innovation and in what areas; what inhibits academics from adopting the techniques in a formative or summative way and so gauging their attitude towards pedagogical innovation? The next chapter explains the approach adopted to answering these research questions.

CHAPTER 3: METHODOLOGY

3.1 Introduction

The previous chapter identified the key research questions which inform this study. This chapter describes, justifies and reflects upon the methodology used to provide data to investigate them. It does this by explaining the author's philosophical stance, the research strategy adopted, and detailing the design of the empirical study implemented. An introduction to the cross-paradigmatic approach adopted was provided in (section 1.3) Chapter ONE. This chapter develops and explains this methodology in the context of the theoretical positions which have informed it and offer assurances that a comprehensive set of integrative procedures are systematically followed.

Mingers (1997:1) defines the term methodology to mean "a structured set of guidelines for activities to undertake to improve the effectiveness of an intervention". Methodology therefore links these guidelines with the context of the study and focuses on the way that research is undertaken – the research process. Specifically this chapter will:

- justify and describe how the research paradigm adopted by the researcher (section 3.2) shapes the research strategy (section 3.3) and addresses the research aim, objectives and research questions (section 3.4).

- identify the contribution to knowledge in addressing the research questions identified as a consequence of the literature survey, thereby closing a part of the theoretical gap identified within this review.

However the author accepts that in developing theory the partial closure of this gap will always remain provisional as living with uncertainty is the essence of the philosophical author's quest for truth.

3.1.1 Conceptions of Organisational Research

The term 'organisation' is used at various times in the thesis to refer to an apparatus deliberately conceptualised and devised to serve the needs of people (Trompenaars and Hampden-Turner, 1997). Organisations therefore exist symbolically in the

minds of organisational members. Their physical manifestation consists of agreed structures for the collective work noted in regulations, legal proceedings and documents of the formally constituted entity. Universities are exceptional forms of organisations charged with the distinctive task of methodical discovery and the teaching of provisional truths about serious and important things.

Organisational behaviour research is recognised as being multifaceted and distinctive in that organisations differ in size, nature, structure and remit (Easterby-Smith *et al.*, 2008). Within such settings, issues of confidentiality may inhibit access to relevant participants or managers may commission research and wish to be joint producers of knowledge outputs (Easterby-Smith *et al.*, 2008). These issues suggest a number of implications for the interview participants such as the length of time for each interview, the objectivity of the research and the research questions. Consequently they inform aspects of the research design and should have applicability to research within similar type settings.

3.1.2 Research Paradigms

Research can be considered as systematic collecting, exploring, examining and interpreting of information, with the specific intention of generating knowledge to satisfy curiosity or inform understanding of a particular phenomenon or context (Saunders *et al.*, 2003). Research is conducted within an existing repository of knowledge and with the central objective of refining, verifying or increasing the contents within that repository. Knowledge in sectors of the human sciences is acquired through combining clinical and ethnographic insights with the leading theory. Knowledge may be developed when we have a set of concepts that: (1) are immersed in and derived from the actual experiences of authentic behaviour in real organisations (Walliman, 2006); (2) when linked together provide meaningful insights from the data (Silverman, 2005); (3) provide some practical usefulness which enables them to be researched further; (4) can be formally and operationally defined so as to be of use in analysing organisational problems (Bryman and Bell, 2007). Blaikie (1993) argues:

> Our knowledge is limited by the fact that reality cannot be observed directly but only through the concepts and theories we choose to use; change the concepts and theories and what appears as reality will also change (Blaikie 1993:6)

Within the broad area of social science research such as that proposed by the author, two dominant paradigms co-exist: the scientific paradigm and the constructivist paradigm and these are explicated in section 3.2. A research paradigm is conceptualised within this study as the dominant way of thinking about a phenomenon which informs the way research is conducted and verified in order to establish a defendable position. Research paradigms within social science research broadly centre upon whether to adopt quantitative or qualitative methods of data collection. The study of organisational culture is fertile ground for the adoption of qualitative research approaches which can yield rich insights into the deep seated views of members (Alvesson, 2002; Schein, 1985). However, such approaches are criticised as inherently deficient in that the phenomena identified in one setting are idiosyncratic and not readily transferable to a similar setting or different context (Delobbe, 2002; Van den Berg and Wilderom, 2004). Further, this approach is considered unlikely to yield information coherently linkable to the organisation's major outcomes such as performance or innovation (Cameron and Freeman, 1991). Critics of the legitimacy of the qualitative approach to organisational culture argue that to investigate the phenomenon across different contexts demands a quantitative (some may argue objectivist) approach and a number of techniques have been developed to achieve this (Delobbe, 2002; Van den Berg and Wilderom, 2004). In adopting a quantitative approach, however, the potential for gaining insights into interpretive motivations intentions of respondents is sacrificed (Berger and Luckmann, 1967).

Set against this backdrop, explication of the author's philosophical outlook will precede issues which assisted in the research design. Pring (2000:78) notes that knowledge is predicated upon a "publicly agreed framework of justification, refutation and verification". Further, this knowledge is grounded on a set of beliefs that characterise the author's view of the world. This worldview (paradigm) defines a set of shared beliefs which underpin a common understanding about an approach towards researching in terms of what phenomenon should be studied, how it should

be researched and the results interpreted (Kuhn, 1970). These common understandings are the philosophical backdrop against which research is undertaken (Pring, 2000). It is because authors have differing worldviews that no single frame of reference or research paradigm can fully explain the meaning within organisations and organisational life (Easterby-Smith *et al.,* 2002). Part of this research includes exploring perceptions, experiences and behaviour of university academics. Thus the methodology is strongly influenced by psychoanalytic practices[17] of academics within the interpretive paradigm[18] of social science whilst drawing on a functionalist[19] view of universities as organisations. The value of this interpretive/functionalist approach is that it brings together several theoretical assumptions about universities into a unifying interpretive frame of reference. This categorises the research as interpretive organisational research within the field of social sciences, using assorted data and predominately inductive methods of primary data analysis (Burrell and Morgan, 1979; Denzin and Lincoln, 1998). Since one objective of the research is to understand aspects of university cultural reality through the lived experiences of individuals and groups, the study was subjective, exploratory and non-experimental in nature. Burrell and Morgan's (1979) explanation of sociological paradigms in organisational research classifies this kind of study as fitting within functionalist and interpretive sociological paradigms (Saunders *et al.,* 2003; Easterby-Smith, 2004; Denzin and Lincoln, 1998; Bryman and Bell, 2007; Fisher, 2004; Silverman, 2004). In the next section we turn to describing the research paradigm adopted as a consequence of the author's dominant way of thinking about social phenomena.

3.2 Author's Philosophical Stance and Paradigm Adopted

In exploring the views and experiences from those participants involved in the present study, it is acknowledged that any conclusions reached are provisional - this being the essence of the researchers' "trade". In doing this the author is attempting to understand the distinctiveness and relationship between the cultural profiles and

[17] Psychoanalytic practice uses feelings, thoughts and observable behaviour as data for revealing and interpreting unconscious beliefs and assumptions.

[18] Interpretive paradigm – a view of the world predicated on the notion that accounts of social life must take cognizance of the actors' frame of reference.

[19] Functionalist in this context means recognising that actors within such organisations broadly fall under the headings of teaching, research, administrative, management and other support.

pedagogical innovation for each contrasting type of university. To achieve this, an open-minded stance was adopted where the author engaged in interviews with different groups of university staff, triangulated with questionnaires and secondary data from official university documents. Conceptually, therefore, the author is attempting to make sense of the participants' voices, situations, manifestations of culture (summed up in the term "regime", Trowler, 2008:51), degree of cultural penetration, and compare this with existing theories of culture and pedagogical innovation such as the distinction between pedagogical policy and practice. A number of conceptual traditions including positivism and social constructionism (Easterby-Smith *et al.*, 2002) exist for thinking about social phenomena. These traditions are based upon a number of philosophical assumptions and articulated through a number of distinctive theoretical positions. These positions constitute the philosophical milieux in which research is undertaken and may be understood in terms of the author's deep-seated beliefs and assumptions about physical and social reality and the conceptualisation of knowledge. In this chapter these beliefs and assumptions are made explicit.

Researchers approach the social world with a preconceived set of ideas (Fisher, 2004, Bryman and Bell, 2007) - a theory of the way the world works (ontology), specifying a number of questions to be answered (epistemology) which are then scrutinised in a particular way (methodology), see Table 3.1. The author of this investigation will undertake the research process within a subset of contrasting universities that have embraced their own historical traditions and have developed their own points of view. These traditions must be seen within the context of a political and ethical background that infiltrates every stage of the research process. The research aims to inform on two fronts; first on the current state of knowledge on self- and peer-assessment practices, thereby updating the intellectual core (the epistemological dimension); second, it informs policy makers and practitioners on the influence of university culture on pedagogical innovation and thereby what is working in one particular educational domain (the empirical/practitioner dimension).

Table 3.1: Philosophical assumptions underpinning the author's Stance

Assumptions:	Explanation of Author's Stance
Physical and Social Reality:	The nature of being and reality. Shaped by history, power and context.
-Ontology	
-Social reality	Conception of philosophy and social science is a socially situated one, constructed through individual's interactions, interpretation and meaning.
Author's Stance	Social Constructivist:Nominalist
Knowledge:	
-Epistemologically	Theory is historically and socially grounded and used to illuminate the findings and the findings to develop (not prove) the theory surfacing from critical debate surrounding contradictory and conflicting data. Aim is not of seeking "truth" but valid knowledge through interpreting others 'ways of seeing'.
Author's Stance	Interpretivist.
-Methodology	The process and logic of discovery, validation and explanation of the enquiry.
Author's Stance	Questionnaires, in-depth interviewing, documentary analysis

Table 3.1 makes explicit the author's philosophical orientation and assumptions about the nature of social reality and knowledge and summarises the ontological and epistemological stance adopted. At the ontological level Easterby-Smith *et al.* (2002) argue that within social science research, *representationalism, relativism and nominalism* offer three contrasting views on truth and facts comprising an intellectual core. Researchers adopting a representationalist ontological stance believe truth is determined through verification of predictions; a relativist viewpoint assumes that any perspective formed on a phenomenon depends upon the observer's position and truth is determined by reconciling differing viewpoints. The nominalist viewpoint assumes that facts are all human creations and that truth is dependent upon the constructors.

The author's ontological stance assumes a reality dependent on individual cognition, in which there are incidents and phenomena, but the general concepts used to describe and categorise them are social constructions (Table 3.1) – thus a nominalist position is being adopted. Things can be classified in many ways, depending on the situation as for example with time (clock time; astronomical time; geological time).

These ontological positions used in social science research link to the author's epistemological position. *Epistemology* for the purposes of this study is being adopted as the term which describes a theory of knowledge in terms of how that knowledge should be acquired. At the epistemological level the debate between objectivists and subjectivists is inextricably linked to the debate between positivism and anti-positivism. Positivism is an epistemological position which believes in the separateness of the researcher from the researched, which holds that the world consists of "real" things, that knowledge can be defined in scientific terms (through reductionism and the search for causal relationships) and acquired (scrutinised using a scientific process) through the collection (empirical – experienced through the senses) of value-free facts. Positivists believe science has no relationship to ideology, political or moral opinion and that the social and natural sciences share similar logical and methodological fundamentals. Consequently they assert that the social world can be described in law-like generalisations (Pring, 2000). Anti-positivists argue that the underpinning theoretical assumptions about physical and social reality are socially constructed, hence the label 'constructivists'. They believe research findings are not discovered but rather created through the interaction between the researcher and that being researched (Pring, 2000). Truth in this setting therefore becomes a matter of consensus through negotiation amongst "sophisticated constructors" (Pring, 2000:47) rather than truth as an association between the researcher's account and what is the case independently of the researcher. Furthermore, by assuming the existence of fundamental structures "out there", positivists reject the possibility of multiple "truths" about the nature of the social world. The author believes, however, that there are several, equally valid interpretations and descriptions of every incident or phenomenon.

Constructivists also believe that research findings are context bound and therefore conclusions derived therefrom cannot be generalised completely. Idiosyncratic perceptions and experiences have limited generalisability, and thus the challenge for the researcher becomes one of identifying an approach which embraces rigour and can be used to guide future research work. The intention consequently becomes one not of seeking "truth" but with interpreting other's 'ways of seeing'. This approach goes beyond science, supporting the author's belief that 'knowledge' is contingent, tentative, contested and context specific. Burrell and Morgan's (1979) persuasive exposition of sociological paradigms in organisational research classifies the present study as fitting within functionalist and interpretive sociological paradigms. For these reasons the author adopts a *constructivist* ontological position by subscribing to a view that social phenomena and their meanings are continually determined by actors. An interpretivist epistemological position is also adopted, predicated on the view that social scientists form their own subjective meaning of social action (Bryman and Bell, 2007). However, the author acknowledges that researching the subjective experience of individuals is problematic in that the researcher assumes the interviewees know themselves enough for a researcher to take what is reported at face-value, and that interviewees are willing to reveal their inner feelings to strangers – assumptions difficult to verify. The view that science attempts to depict actual incidents taking place in social settings such as universities without individual cognition, is not subscribed to by the author. There are no a priori structures within university settings in his view, beyond shared cognitions between human minds and these social structures shape the understandings and expectations of individuals. Furthermore, the social world of the university is constituted by the individual and collective intensions and motives of the "social actors" within them (Pring, 2000:96) and the meanings derived from these intentions and motives.

An interpretivist epistemological position implies the use of qualitative data collection methods (O'Leary, 2007). However, using qualitative methods means numerous interpretations can be produced and as none of these can be proved 'right' or 'wrong' some researchers have suggested that apparency and verisimilitude, authenticity, plausibility and adequacy (Van Maannen, 1988) become more relevant measures of truth. Kvale, (1989:279), cited in Miles and Huberman (1994) argues,

that validity[20] is the process of checking, questioning, and theorising and not as a strategy for establishing rule-based correspondences between our findings and the 'real' world. Validity comes down to the process of choosing between competing and falsifiable explanations of events.

3.3 Design of the Research

Research design describes a set of procedures and methods developed to undertake empirical research (Bechhofer and Paterson, 2000). The role of the researcher in this phase is to choose a design strategy which is closely aligned with the researcher's philosophical principles underpinning their usefulness. This next section describes elements of the research design and justifies the research setting, sampling strategy, data collection instruments, data gathering process and data analysis approach adopted.

3.3.1 Research Setting and Participants

As will become apparent in the following sections, the research approach designed (Table 3.2) consisted of two phases and involved a mixed methods approach.

[20] Validity for the purposes of this research is being used to describe the alignment between the findings and the things they are supposed to be describing. Thus the criteria of authenticity, plausibility and criticality (Golden-Biddle and Locke, 1993) are the key measure of validity used here.

Table 3.2: Overview of setting, final sample of universities reported and data collection instruments

Research Stage	Research Question (RQ)	Research Strategy	Data Collection Instruments	Unit of Analysis (Including Cognate areas Selected)
Phase I (June-Sept 2005)	**RQ 1** What range of student self- and peer-assessment systems are being/have been adopted by accounting and management academics within the university sector in Scotland?	Survey	Online Questionnaires (N=415)	**All 14 Scottish universities** **These units of analyses apply to both RQ1 and RQ2** Accounting staff who use(d) Self Assessment Management staff who use(d) Peer Assessment Accounting staff not use(d) Self Assessment Management staff not use(d) Peer Assessment
	RQ 2 What influences (supports/inhibits) accounting and management academics to introduce pedagogical innovation such as self- and peer-assessment?	Survey	Online Questionnaires (N=415)	
Phase II (Nov 2005-Feb 2006)	**RQ 3** Deploying a conceptual adaptation of Schein's (1984) model and taking account of more recent developments in the literature, do university cultural factors influence pedagogical innovation?	Case studies and focus groups	1) Organisational Culture Assessment Instrument (OCAI) questionnaire & Competing Values Framework. 2) Interviews of Focus groups within three contrasting categories of Scottish university 3) Artefacts (university documents)	**THREE contrasting types of Scottish university (Ancient, Civic, Modern)** Per Institution:- 1 Representative of Senior Management 1 Group Accounting Academics 1 Group Management Academics 1 Group Admin/clerical support staff

Table 3.2 illustrates the main phases of the empirical work. Phase I concentrated upon addressing Research Questions 1 and 2 using an electronic survey of self- and peer-assessment practice to collect the primary data from two cognate areas within business schools departments (Accountancy; Management) in all fourteen Scottish

Universities. Phase II concentrated on addressing Research Question 3 and adopted three different instruments for data collection within the three contrasting Scottish university case studies. In this second phase primary data were collected using both a self-administered manual questionnaire (the Organisational Culture Assessment Instrument – see section 2.8) and multi-level[21] in-depth focus group interviewing. Secondary data for this phase were gathered using documentary artefacts to enhance the reliability of the findings from the primary sources. The next three sections which follow explain and justify the boundary and units of analysis adopted before proceeding to describe the data collection instruments in detail.

3.3.1.1 Sampling Strategy

The selection of any sample should be determined by the purpose of the study and the main research questions (Saunders *et al.,* 2003; Bryman and Bell, 2007). Two broad principles of sampling strategy design informing this study are representativeness and freedom from bias. Two techniques for observing these principles are probability and non-probability sampling. The former should be used when it is possible to obtain a random sample so that each unit in the sample frame has an equal chance of being selected. Non-probability sampling is adopted when probability sampling is extremely difficult or time consuming to obtain (Bryman and Bell, 2007). Due to the anticipated difficulties in accessing entire university populations and the particular thrust of this research[22], non-probability sampling was employed in this study. Stratified sampling across the various multi-levels within each institution can be used to gather a broad range of nuanced and context based insights into experiences and perceptions of pedagogical innovation. When combined with semi-structured interviewing and documentary analysis, the macro- and micro-level data gathered can yield rich insights into the circumstances in which pedagogical innovation works in a particular type of institution, and for this reason non-probability sampling was adopted. The number of individuals needed to survey and determine the culture of an organisation will depend upon the nature and scope of the study, the time available and the resources available and for these reasons a number of assumptions were made in developing the sampling strategy, which are

[21] Multi-level in this context means senior management, academics, administrative and support staff.
[22] Thrust here being part perceptual for obtaining views, attitudes, experiences and part positivistic where assessing the range of self- and peer-assessment practices.

now explicated. First, groups of academics are sufficiently heterogeneous units to enable comparison of similarities and differences in practice and perception. Second, that each of the fourteen institutions within Scotland involved in the university sector can be broadly categorised as Ancient, Civic and Modern and that the original sample chosen (five) was representative of that sector and these categories. Finally, that the two cognate areas chosen were representative of business schools and that they can only be at best a sample of university academics. The next two sections detail the application of these assumptions.

3.3.1.2 Institutional Cases Selected

The intention was to study five Scottish universities from a university population of fourteen. This subset of five was identified through purposive sampling based upon three criteria (1) they had to have clearly definable units of accountancy and management academics and students; (2) they represent different university types as specified in section 1.9 and (3) they have similarly broadly based student populations comprising undergraduate, postgraduate and professional student populations. The five institutions in the study comprise two Ancient universities, one Civic university and two Modern universities. The intention was to report on up to five case studies, and the considerable volume of data collected on all five institutions reflects this. As will become apparent in chapter Four, the significant volume of data gathered restricted the analysis referred to in this thesis to three of these case studies only - one Ancient, one Civic, and one Modern - which individually represent the contrasting university categories.

3.3.1.3 Cognate areas Selected

As the research questions imply in section 1.7, a central focus of this study is to explore the nature of pedagogical innovation through an organisational cultural lens with self- and peer-assessment as an example of pedagogical innovation and studied through a sample of academic cognate areas (Becher and Trowler, 2001) commonly found in Scottish business schools. The rationale for the selection of two contrasting cognate areas from a wide range of possible business school options is based upon: (1) the belief that accounting and management (broadly defined) are two generic cognate areas found in most Scottish business/management schools; (2) the two

cognate areas differ markedly in nature - accountancy is professionally/vocationally oriented and more positivistic in nature, whereas management studies are more interpretive and rooted in more broadly oriented professions; (3) each cognate area differs markedly in the type and range of their assessment practices - accountancy being governed largely by aspects of professional accreditation, relying heavily on traditional unseen tests. Learning within management studies, on the other hand, has a strong focus on collaborative activities and these are commonly assessed using case studies and groupwork assessment.

3.3.1.4 Ethical Considerations

Formal approval to participate in the research was obtained at three levels. At the first level, formal acknowledgement from a member of the university senior management with an official response from each university Principal to an introductory letter seeking agreement to formalise the research contract and establishment of the various groups to be involved in the OCAI questionnaire and semi-structured interviews (Table 3.2, Phase II). At level two – group level – members were invited to take part in a focus group. The focus groups[23] were informed of the purpose of the study and reassured that the data would be kept in strictest confidence, anonymised and used only for the purposes of the research. This procedure and assurance was undertaken in each case study. At level three, individuals were volunteers who responded to a personal invitation and verbally signed-up to an agreement to be interviewed. Bryman and Bell, (2007) note that the issue of informed consent, in principle, may not adequately cover unanticipated emotional responses by individuals to the researcher, or to material raised during the interview. At best, the researcher aimed to 'guard against harm' (Hollway and Jefferson, 2000:88) through creating a safe context for discussions. No individual was identified to anyone outside of the research focus groups. The basic information disclosed to each focus group was the names and status of those interviewed in order to check that a reasonable degree of 'group representation' within the sample had been achieved. Confidentiality about individuals' identities and the name of each university was (and continues to be) preserved. Generalities about the universities,

[23] The term focus group for this study also includes the representative of senior management.

their primary tasks and operations may subsequently be disclosed where this does not breach the anonymity of participants or compromise the institutions' reputations.

3.3.2 Data Collection Instruments

As illustrated in Table 3.2 the data were collected using mixed data collection instruments comprising questionnaires, focus group interviews and documentary sources (the latter consisting of artefacts and other secondary data from university publication material). The next three sections will discuss in detail the main instruments of data collection for both Phases I and II of the study.

3.3.2.1 The Questionnaires

The first (on-line) questionnaire (Table 3.2) was designed to obtain data on the practices and perceptions of self- and peer-assessment for Phase I of the study, and this phase is designed to answer research questions one and two. To do this a self-administered on-line instrument was developed from the literature review and Topping's (1998) typology of peer assessment. Table 3.3 shows examples of variables that the questions were developed to explore.

Table 3.3: Structure of questionnaire - Phase 1

Question Nunmbers.	Questionnaire Themes	Corresponding Dimension	Variable	Item
12-23	Users of Self- and Peer-Assessment	Experience and Innovation	Current use	Level (M etc), module (core/ option/ cognate area)
			Focus/purpose	Formative; Summative (% of final mark)
			Application	Oral presentation; written outputs; groupwork and projects, professional skills; other.
			Experiences of implementers	Good/bad; degree of prior awareness/ familiarity, current "view" (quantity and quality, level, value, worth, knowledge, feelings) about the process and outcome.
			Years teaching S&PA adopted on.	Novice or established member
			Department	Management, Accountancy
			Level	Masters, Professional, Level 1,2 3 or 4
24-25			Objectives for adopting Self- and Peer Assessment	Staff & students (innovation, time saving, cognitive/affective
26-34			Product	Oral presentation, written work etc
			Relation to staff assessment	Supplantive, supplementary
			Official Weighting	Did it count towards final grade or not
			Directionality	One-to-one; one-to-many; many-to-one
			Confidentiality	Anonymous/public
			Locus	Campus or off-campus
			Reward	Course credit for participation
35-41		Quality Assurance	Briefing/preparation of students	Detailing what was expected
			Further training on S&PA	Mechanics/meaning
			Colleague consultation	Objectives/expectations/standards
			Assessment criteria illustration	Model answers/marking schedules/checklists/inventories
48-49	Users and Non-Users of S&PA	University Culture	Drivers	Student understanding Variety in assessment instruments
			Obstacles	Time consuming Lack of reward/recognition

Each question in Table 3.3 was designed to draw out the range of experiences and perceptions of users and non-users of self- and peer-assessment. Each variable offers a range of item responses. In total the questionnaire (Appendix D) addresses 49 individual variables designed to provide answers to Research Questions 1 and 2.

The questionnaire for the second phase (manually distributed), designed to answer Research Question 3, is an adaptation of The Organisational Culture Assessment Instrument – OCAI, (Cameron and Quinn, 1999), and was designed to obtain preliminary data on the type of culture (Clan etc.) and the role of this culture in supporting/inhibiting the innovative and adaptive capacity of academics to undertake pedagogical innovation. The questionnaire[24] was used to determine firstly, an initial picture of the predominant organisational culture type (see Fig. 2.2) of each university studied and secondly a sense of the degree of the innovation dimensions established (Table 2.5). Questions are based on written descriptions of cultural scenarios based on Quinn's (1988) competing values model (based on Jung's, 1923 psychological archetypes) and were described in section 2.7. These scenarios help participants convey the core values and orientations that characterise their institutional culture (Cameron and Ettington, 1988). Participants indicate the degree to which their university exhibits attributes associated with four "pure" culture types. Within this configuration there may be a predominant type, a dominant mix of two types or no dominant culture type.

The results of the OCAI questionnaire, when taken alongside the other two data collection instruments, represent a unique organisational culture configuration for each university. This (OCAI) questionnaire has been used in over 10,000 organisations worldwide and across most sectors including 344 institutions of higher education in the United States (Cameron and Quinn, 1999:140). It was employed to determine the dispersion and penetration of organisational culture through ***pattern*** dimensions such as the range of values, how strongly they are held (cultural *strength*[25]) and shared across the university (*congruence*[26]) and cultural *predispostion* (innovative, risk-oriented etc). It can therefore be used to indicate the organisational culture configuration of each university in terms of the four culture

[24] The Organisational Culture Assessment Instrument (OCAI) – manually distributed to distinguish it from the Web-based survey (Phase I) previously circulated to all 415 Accounting and Management academics.

[25] Cultural strength - the power to affect everything that happens; culture is strong when people generally follow the system of informal rules that make clear how they should behave, (Deal and Kennedy, 1982)

[26] Cultural congruence - Culture in one part of the organization being reflected elsewhere in the same organization. (Deal and Kennedy, 1982)

types of Clan, Adhocracy, Hierarchy and Market by assessing six key *content* indicators/dimensions of organisational culture, described in section 2.2.1.

The questionnaire (Appendix E) was manually distributed to all interview participants in each of the four categories – Representative of Senior Management, Accounting academics, Management academics and Support staff (Table 3.2). An extract of the structure from the questionnaire is shown in Table 3.4.

Table 3.4: Analysis of Culture Values - Extract from questionnaire two (Phase II)

		University
Dimension 1	**Dominant Characteristics**	**Now**
A	The organisation is a very personal place. It is like an extended family. People seem to share a lot of themselves.	40
B	The organisation is a very dynamic and entrepreneurial place. People are willing to stick their necks out and take risks.	15
C	The organisation is very results oriented. A major concern is with getting the job done. People are very competitive and achievement oriented.	25
D	The organisation is a very controlled and structured place. Formal procedures generally govern what people do.	20
	Total	100

In completing the six sections of the questionnaire (Appendix E), interviewees were asked to apportion 100 points to the four statements in all six key content dimensions – see example in Table 3.4. The sum of all six As, Bs, Cs, and Ds are aggregated, divided by four to work out a weighted aggregate and then plotted onto an Excel bar chart. Figure 3.1 provides an example of a chart where the average values for each question over the six dimensions was Clan 45, Adhocracy 15, Hierarchical, 10 and Market 30.

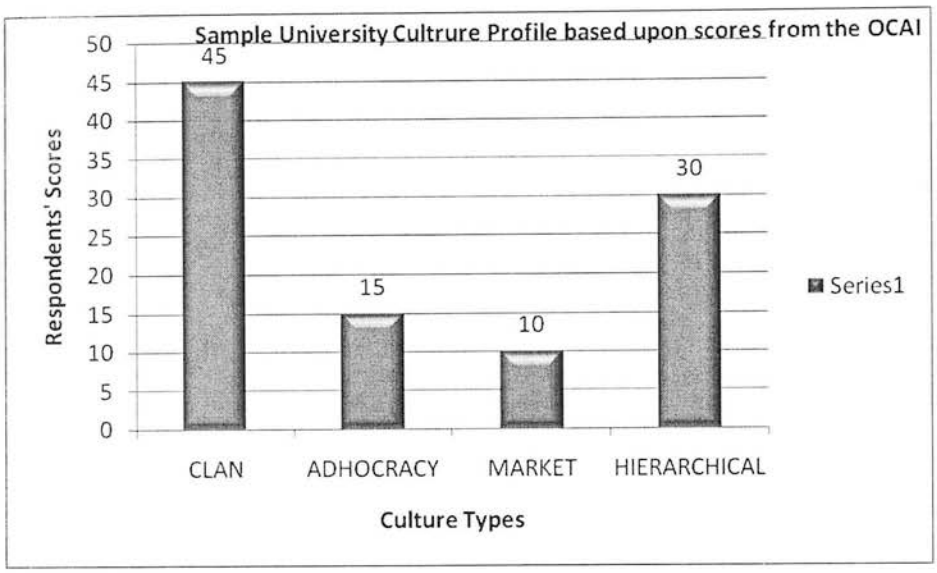


Figure 3.1: Sample Organisational Culture profile for fictitious university

Figure 3.1 shows a cultural configuration for an invented university where Clan appears as the dominant culture with hierarchical also in the foreground and adhocracy and market culture type in the background. The OCAI tool therefore has three distinctive advantages in indicating a university's culture. Firstly, it is practical in capturing core dimensions of culture; secondly, it is timely in that the actual process of diagnosing is not unduly onerous on members and researchers alike; and finally a cultural configuration can be constructed easily and quickly. In addition, this model is underpinned by a widespread empirical literature base from authoritative scholars (Delobbe, 2002; Cameron and Quinn, 1999) thereby supporting the validity of the model.

This phase of the research (Phase II) explored academics' attitudes, beliefs, views of and experiences (Figure 2.1, Level II) with innovating in assessment and assists the researcher in forming a view on the university culture profile[27] within each university and the influence of that culture on pedagogical innovation. However, as noted in section 2.8, a problem with trying to assess a complex phenomenon like organisational culture is that experts rarely agree on those dimensions of culture to measure. Also concepts such as organisational culture cannot be directly measured

[27] Cultural Type for one university (Clan etc based on OCAI); Cultural configuration = mix of types; Overall University Cultural profile = university configuration based on configuration + qualitative data

and therefore rely on indicators to tap into the phenomenon. Single indicator measures of a concept are less reliable than multiple-indicator measures (Bryman and Bell, 2007). For example, some cultural assessment instruments can measure organisational climate with ease but the deep-seated assumptions of members may gradually emerge only after in-depth interviewing (Schein, 1985). Even then, Goffman (1959) highlights the difficulties of separating out the public and private face of individuals – the former being views presented to strangers, the latter being views privately disclosed to friends. Consequently, the approach adopted by the researcher did not take individual fragments of data as indicative of cultural characteristics but rather used data from multiple-indicator measures to gain insight into the deep-seated beliefs of interviewees and to determine the degree of congruency between what organisations say and what they actually do. This led to a more comprehensive understanding of individuals' perceptions of the types and strength of cultures within their own university setting. These data collection tools developed for Phase II, therefore, were carefully designed to address the relevant themes in the light of the literature review and research questions.

3.3.2.2 Rationale for Focus Group Interviews

A Focus Group is a group of individuals deliberately chosen on the assumption that they would have something to say on the topic under investigation, would have broadly similar backgrounds, interests and experiences enough to make a contribution to the interview sessions (Rabiee, 2004).

The selection of those taking part in the focus groups was negotiated between the researcher and a key contact established at each university. Kruegar and Casey (2000) suggest the optimum number of participants in order to be manageable, and to gain a variety of perspectives is between six and eight. They also recommend adding 10-25% onto these numbers to compensate for non-attendees. Initially, a total of 20 focus group interviews were conducted across five universities (only 12 were used in the final analysis i.e. three universities). Criteria used to identify these people aimed at representing a diversity of organisational roles, gender, length of employment in the firm, and the volunteer's general availability for group participation. Differing views exist as to whether participants chosen should share similar or different

backgrounds. Whatever the process for choosing the interview sample, it is acknowledged that some voices would not get heard. Details of cohort sizes and compositions are detailed in section 3.3.3.2.1.

3.3.2.3 Documentary Sources[28]

The final data collection instrument used during this study was a documentary source - an artefact found common to all three universities (the undergraduate prospectus) which was systematically analysed using discourse analysis and used to verify findings from the other two sources, this document containing various expressions of cultural values.

3.3.2.4 Summary

Collectively these four data collection tools – the on-line questionnaire (Phase I), the culture questionnaire (OCAI), the focus groups transcripts and the undergraduate prospectus (Phase II) represented the means for generating the data which underpinned the empirical study. When analysed, they generated results which could be used to indicate levels of perceptions and incidences of university culture and measures of pedagogical innovation as represented by the range of self- and peer-assessment practice.

The next section describes the implementation of the research and describes the research framework used to analyse the data gathered in response to the Research Questions identified earlier.

3.3.3 Data Gathering Administration

This section describes the administrative aspects of the data gathering process for both Phase I and Phase II of the study.

[28] Although each university mission statement, strategy document, learning& teaching strategy and implementation plan were studied for background questions (Appendix F) only the university undergraduate prospectus was subjected to Discourse Analysis (See Fig 3.3)

3.3.3.1 Phase I Process

The implementation of this phase (Table 3.2) of the research consisted of an on-line questionnaire to all accounting and management staff (academic cognate areas members only) in all fourteen Scottish universities. The data collection for this phase (the e-survey on Self- and Peer-Assessment) was carried out in June -August 2005 and the process is described below.

An online survey questionnaire developed using Surveymonkey[29] was pilot tested with five experienced academic volunteers in May 2005 to assess content validity, clarity of questions and instructions, structure of questionnaire and omissions. In June 2005, the refined questionnaire was distributed to the population (excluding those involved in the pilot test) of accountancy and management academics[30] in the Scottish university sector (N=415). This approach provided comprehensive coverage of the sector and amounted to a coherent assessment of practice within the three contrasting[31] types of universities in Scotland. It was assumed that groups of academics were sufficiently heterogeneous units to enable comparison of similarities and differences in practice and perception across the two academic cognate areas. After a second reminder in September 2005, a total 118 usable responses (28% response rate) differentiated by university type were received and are detailed in Chapter Four.

3.3.3.2 Phase II Process

The implementation of this phase of the research consisted of engaging the accounting and management staff (academic cognate areas members only) from a representative sample of the three contrasting universities detailed in section 3.3.1.2 from a population of fourteen Scottish institutions, and the process is described below. Staff lists from university web pages were used in conjunction with the secretary from each of the two relevant departments of each university to produce an

[29] (Surveymonkey.com is a widely available software package which allows the creation of professional online surveys)

[30] Management academics are defined here as those engaged in teaching/researching into strategic management, operations management, general management (excluding marketing and human resource management)

[31] Ancient, Civic and Modern.

up-to-date list of accounting and management academics. The names on this list became the sample frame that was e-mailed to participants of this study.

As established in Chapter Two, the significance of organisational members with a leadership role in setting policy[32] has been widely recognised by Cameron and Ettington (1988), Cameron and Freeman, (1991) and Zammuto and Krakower (1991) and others. Consequently, in November 2006, the Principal of each of the three case study universities was formally written to by the author, informing them of the nature of the research, the proposed approach being adopted. The request asked them to firstly nominate one representative of senior management for interview with knowledge of the cultural values and assumptions underpinning University life; secondly, to agree to the researcher contacting four accountancy lecturers for a focus group interview of approximately one hour (ideally two male, two female), four lecturers in strategic management /operations management /OB management and 4 administrative staff/ support staff/secretarial staff for a focus group interview of approximately one hour. In order to ensure balanced participant representation, each academic group ideally contained a mixture of at least one lecturer, senior lecturer and professor. The rationale for the selection of the administrative staff and the representative of senior management was based on the belief that the former are largely responsible for receiving and implementing policy and the latter largely responsible for formulating policy which embodies the espoused values of the institution.

3.3.3.2.1 Focus Group Interview Data

The uniqueness of focus groups is their capacity to generate data as a consequence of synergy and group dynamics (Rabiee, 2004). The number of participants in these groups was limited to four (with one exception of six academics). Each focus group attendee had been asked to complete the OCAI questionnaire resulting in: fourteen completed from the Ancient university category, eleven from the Civic university category and twelve from the Modern university category. These interviews allowed the researcher to obtain a qualitative feel for each institution's culture. Each of the 12

[32] Policy as aspiration rather than policy in action or policy for reflection.

interviews reported here[33] lasted approximately 1 hour and yielded in total 120,000 words (approximately) of transcript for analysis. This approach allowed for collective sense making to develop through the cross referencing of patterns from the individual responses of group members in order to gain insights into their interpretive motivational intentions (Denzin and Lincoln, 1998). Thus no individual fragments of data were taken as indicative of organizational cultural or innovation features but were seen as part of a wider corpus of data which included the OCAI questionnaire and the documentary evidence including the university prospectus. This approach allowed the researcher to enter into the participants' real-life context in order to gain insight to their conceptual world on the assumption that these world views would be meaningful, knowable and able to be made explicit (Heracleous, 2001).

The third instrument developed for the focus group interviews of phase II comprised a semi-structured interview schedule (Appendix F) which was customised for each category of interviewee (representative of senior management, accounting academics, management academics and support staff). The instrument was designed firstly, to explore how a cross-section of university staff from within three Scottish business schools conceived of the organisational culture within their institution and secondly, to aid understanding of why and how this culture influenced (supported/inhibited) their propensity to innovate in student self- and peer-assessment (Research Question 3). For the types of interview questions developed to explore dimensions of culture and pedagogical innovation during this phase of the research, see Appendix F. During the case study field work, each focus group interview was tape-recorded to enable the researcher to freely engage in a dialogue with the group members. Interviews lasted between one to one and a half hours during which times key impressions and recollections were recorded and documented. All recorded interviews were transcribed and a [line numbered] transcript was produced for each focus group (the representative of senior management was an individual transcript). This interview technique fits within the characteristics of semi-structured interviewing using an interview schedule pro-forma (the interview guide) (Bryman and Bell, 2007:474). The design of this

[33] The volume of data from the 3 universities reported here was deemed adequate for the purposes of the research design.

interview guide was devised to encourage a natural flow of conversation and comprised a set of open questions to frame the conversation. Broadly similar (but customised for each category of respondents) sets of questions were used for each category of distinct role (academic, support/administrative staff or representative of senior management) within each university, (see Appendix F for an example interview guide). All interviews were interactional events and therefore the data generated was inevitably co-created - an account in which both interviewee and interviewees contributed to making sense of events and experiences (Heracleous, 2001). Because of the approach adopted, problems of bias (including non-response), validity, the use of retrospective accounts and facts or supposed neutrality of the questions themselves were taken as dynamic elements in interpreting the interview data. The power of these transcripts rests in the ability of the language within the accounts offered, to convey an illustrative worldview. For each piece of data transcribed, a unique identifier was used on the transcripts denoting each participant's initials. To preserve anonymity these initials were then converted to a general identifier (M1, F2 etc. for Male 1, Female 2) when used in the final documentation of the analysis.

As this phase of the research was exploratory in nature and concerned with theory development, a self-selecting sampling was considered appropriate (Saunders, 2003). Multi-level academic groups from each cognate area were selected to ensure representation from professor to lecturer. A breakdown of the populations and samples can be found in Table 3.5.

Table 3.5 Population and Sample of Focus Group Interviewees

University	D		C		A	
Senior Mgt[34]:-						
Population	8		4		5	
Sample	1		1		1	
Support Focus Groups:-						
Population	26		22		19	
Sample	4		4		7	
Academic:-Focus Groups	Acctg	Mgt	Acctg	Mgt	Acctg	Mgt
Population						
Sample	25	38	15	26	22	20
	3	4	2	4	3	6

Table 3.5 presents numbers of staff involved in the Phase II focus group interviews. Within the focus groups of support staff, a broad spread of members including administrative, secretarial, quality assurance and academic support managers were interviewed[35].

Initial questioning of focus group members centred upon the wider issues arising from engagement with departmental/school/faculty/institutional learning and teaching policies. Questioning then explored the extent to which self- and peer-assessment had been used and whether the techniques were now embedded within departmental and institutional structures, systems and policies. The interviews also explored and examined the attitudes towards using self- and peer-assessment and their values, basic assumptions and experiences within the context of innovation. This approach allowed preliminary impressions from the first phase to be tested in a more systematic way and cross referenced with institutional policy makers and shapers.

Four sets of semi-structured interviews were conducted at each of the three universities being reported here. Each interview session was digitally recorded

[34] Senior management = principal and vice principals only

[35] The academic support groups were from the Business Schools with the exception of quality assurance where a cross School role is generally undertaken.

within the ethical framework mentioned earlier, transcribed and analysed against a thematic framework (Miles and Huberman, 1994) interview transcript template (Appendix F). In total, 37 usable questionnaires were collected and 12 interviews were conducted within the three institutions, designated A,C.D[36] to protect anonymity.

Due to the relatively small sample size of three universities it is important to emphasise the limitations on the generalisability aspect of any findings from the data in that it can do no more than illustrate some of the issues which influence the adaptive and innovative capacity of accounting and management academics within the Scottish university sector. Thus findings in this phase contributed towards the theorising dimension of the research.

In assessing key dimensions which supported/inhibited innovation, responses were aligned against the following innovation thematic framework developed in section 2.10 and repeated here to assist continuity.

Table 3.6: Key Dimensions for assessing innovations (from section 2.10)

Thematic Code	Support dimensions	Thematic Code	Inhibitor dimensions
S1[37], G	Emphasis on creative/innovative goals	I1, HS	Excessive Hierarchical structures
S2, M	Means emphasis	I2, NA	Non-alignment of active support with espoused positions
S3, R	Reward emphasis	I3, LR	Lack of support and encouragement (reward)
S4, IS	Infrastructure support for the task	I4, RCI	Lack of resources committed and involved.
S5,SES	Socioemotional support	I5, EC	Excessive control

The key dimensions were operationalised by the extension of thematic codes to assess evidence supporting claims about support/inhibitor factors and the procedure is explained in the next section (3.3.4.2.2).

[36] Universities B and E were removed for reasons of excessive data volumes.
[37] S1 = first Support dimension GOALS from Table 2.5; I1 = first Inhibitor dimension Hiererchical structures, from same table.

3.3.3.2.2 Documentary Sources

Three university undergraduate prospectuses were collected and analysed. This data was triangulated horizontally and vertically to discover aspects of congruency or misalignment between the methods and increase the internal validity of the findings. The theoretical framework informing the analysis of the documentary sources is a branch of linguistics known as critical discourse analysis (CDA). Critical discourse analysis is concerned with understanding the relationship between rational and social structures in order to demonstrate that discourse has the power to create itself as well as be socially constituted (Fairclough, 2001; Van Dijk, 1993). Discourse analysts argue that public discourses such as freely available university prospectuses not only produce or reflect social processes, systems and structures but also contribute towards sustaining and/or reproducing these processes, systems and structures. Thus the role of the analyst here is not only to examine discourse to discover meaning but also to establish how this meaning arose. This part of the analysis draws on a similar study undertaken by Fairclough (1993) which explored the ways in which marketing practices such as advertising altered the public discourse of UK universities to illustrate a wider shift in power relationships and identities within UK universities. However, unlike Fairclough's (1993) study this research focused upon the discursive approaches to representing university culture and pedagogical practices within three contrasting university types.

3.3.4 Data Analysis

The next two sections describe the tools, approach and process involved in analysing the data within each phase of the empirical work.

3.3.4.1 Data Analysis – Phase I

Phase I centred upon detecting incidences and patterns of self- and peer-assessment usage across the two cognate departments of all fourteen universities and interpreting what the data revealed about the academic respondents and their pedagogical practice within the research setting. The responses to questionnaire I were collected by means of the Surveymonkey on-line survey tool and were subsequently analysed in a two stage process using MS Excel© and SPSS 14©. Descriptive statistical analysis was employed here as they provide a very useful initial examination of the data in

order to produce useful insights into the nature of responses and distribution of value. They also provide a means for presenting data in a palatable manner (Diamantopousos and Schlegelmillch, 2000).

3.3.4.2 Data Analysis – Phase II

Phase II describes the mixed methods approach to the organisational culture phase of the research which was conducted using the OCAI questionnaire, semi-structured interviews and a documentary artefact. The corpus of data gathered from all three sources of this phase provide evidence indicating the status of the university culture and the existing scope for pedagogical innovation as represented by self- and peer-assessment. The results of this provided a basis on which the researcher can form a judgement around academics' views and practices in terms of their propensity to innovate in pedagogy. These personal positions are set within a context of their personal agendas, the range of incentives available and the participants' general views on those factors which support/inhibit innovation in self- and peer-assessment.

3.3.4.2.1 Analysis of the OCAI Questionnaire

Data for the second questionnaire (OCAI) was entered into Microsoft Excel© model and the data aggregated for each group of respondents and then across groups within each institution (Tables 3.7 and 3.8 show extracts from one of the institutions – university C).

Table 3.7: Extract from Questionnaire Two (Phase II) showing an Administrative group's aggregated responses to the Dominant characteristics of their institution

	Analysis of Culture Values – sum of each individual entry	Administrators				Cumulative divided by No. Of entries			4
		University		Dept.		University		Dept.	
1	Dominant Characteristics	Now	Prefer	Now	Prefer	Now	Prefer	Now	Prefer
A	The organisation is a very personal place. It is like an extended family. People seem to share a lot of themselves.	65	75	115	115	16	19	29	29
B	The organisation is a very dynamic and entrepreneurial place. People are willing to stick their necks out and take risks.	56	120	50	90	14	30	13	23
C	The organisation is very results oriented. A major concern is with getting the job done. People are very competitive and achievement oriented.	101	105	78	80	25	26	20	20
D	The organisation is a very controlled and structured place. Formal procedures generally govern what people do.	178	100	157	115	45	25	39	29
	Total	400	400	400	400	100	100	100	100

Each interviewee who completed an OCAI questionnaire (Appendix E) was entered into Excel© spreadsheet model where the results can be explained as follows: each group of responses[38] for each of the six dimensions (e.g. Dominant Characteristics) were recorded for each of the four options A,B,C and D and aggregated. Table 3.8 shows a summary of each group's aggregated responses to each of the six dimensions.

[38] These illustrative responses are for a group of 4 Administrators; similar entries exist for each case study university

Table 3.8: Aggregated and averaged responses to each of the six dimensions of the OCAI (See Table 2.7) from each focus group within University C - Questionnaire Two (Phase II)

Name Inst	Uni C	No of Questions		6											
Type	Pre 65	Sen Mgt		Accountants				Mgt academics				Admin staff			
	Overall	Uni.		Uni.		Dept.		Uni.		Dept.		Uni.		Dept.	
		Now	Prefer	Now	Prefer	Now	Prefer	Now	Prefer	Now	Prefer	Now	Prefer	Now	Prefer
A	Sum	310	315	0	155	240	285	131	182	217	174	118	150	195	199
Sum/en	Avge	52	53	0	26	40	48	22	30	36	29	20	25	33	33
B	Sum	135	160	70	125	98	98	59	117	83	123	116	174	87	121
	Avge	23	27	12	21	16	16	10	19	14	21	19	29	14	20
C	Sum	65	60	190	160	100	78	181	118	93	126	150	128	100	87
	Avge	11	10	32	27	17	13	30	20	16	21	25	21	17	15
D	Sum	90	65	340	160	163	140	228	183	207	177	216	149	218	193
	Avge	15	11	57	27	27	23	38	31	34	29	36	25	36	32
	Checksum	600	600	600	600	600	600	600	600	600	600	600	600	600	600
		100	100	100	100	100	100	100	100	100	100	100	100	100	100

Although the questionnaire asked for views on the organisational culture 'now' and 'preferred', the volume of data and boundary of this thesis restricted the analysis to the view on university culture 'Now'. This analysis was then further aggregated when the organisational cultural labels for each of the codes A, B, C and D were transferred (Table 3.9) to allow the generation of a graphical representation of the data.

Table 3.9: Summarised and aggregated responses to each of the six dimensions of the OCAI.

Culture Types and Comparative Strength						
	Senior Manager (n=1)	Academics 1 - Accountants (n=2)	Academics 2 Management (n=4)	Support Staff (n=4)	Cumulative	Simple Average %
CLAN	52	0	22	20	93	23
ADHOCRACY	23	12	10	19	63	16
MARKET	11	32	30	25	98	24
HIERARCHICAL	15	57	38	36	146	36

These data from each of the four categories of respondents was subsequently aggregated and imported into a Microsoft Excel bar chart to show the relative weightings attached to each cultural type. An example of which is shown in Figure 3.2.

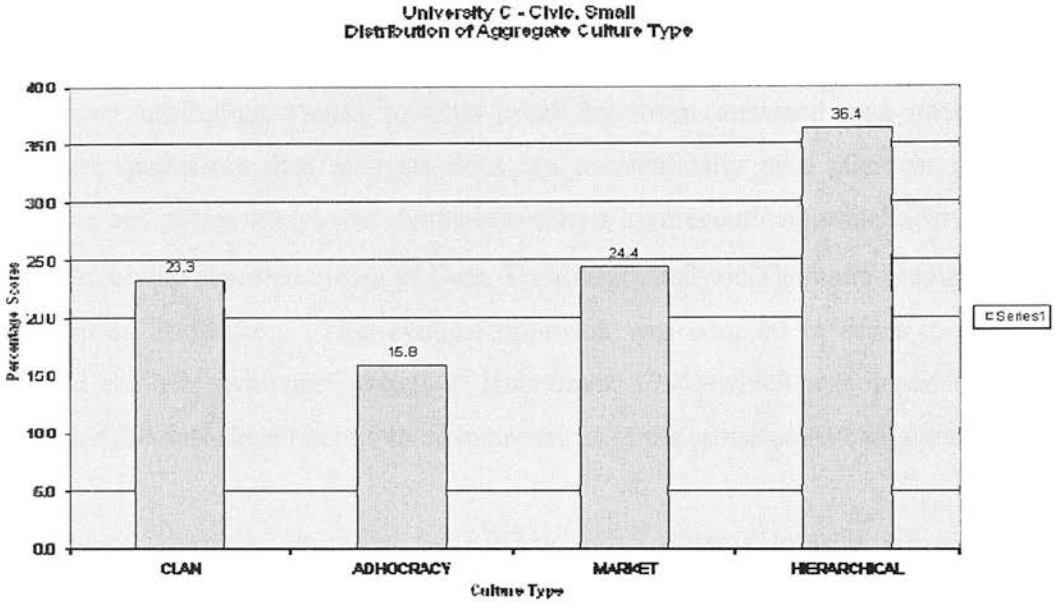


Figure 3.2: Summarised and aggregate responses to each of the six dimensions of the OCAI

Detailed discussion on the analysis of these charts will found in Chapter Five. The next section will explain in detail the process and content in analysing the Focus Group interviews.

3.3.4.2.2 Qualitative Data Analysis Process for Focus Group Interviews

The essence of qualitative data analysis is concerned with systematic pattern recognition through detection and documentation. Therefore the tasks of defining, categorising, theorising, explaining, exploring and mapping, are fundamental to the analyst's role' (Miles and Huberman, 1994). There are a number of approaches to analysing qualitative data with most researchers adopting a hybrid model (Dey, 1993). This present study followed this hybrid approach incorporating the broad analytical approach of Patton (1980) whilst also adopting several of the key stages of the 'Framework Analysis' described by Ritchie and Spenser (1994).

To facilitate detection, the process of qualitative data analysis commonly falls into three broad stages: analysis, interpretation and evaluation (Patton, 1980). *Analysis* is the process of bringing order to the data by identifying and then organising the data into patterns, categories and basic descriptive units. *Interpretation* involves attaching meaning to the data by exploring and explaining relationships and linkages among descriptive patterns or descriptive units. *Evaluation* includes making judgements about and attributing values towards what has been analysed and interpreted. However qualitative data analysis does not automatically take place in a linear direction and in this study, was characterized by a hermeneutic approach (Silverman, 2005) involving repeated cycles of Data, Transcript Analysis Thematic Framework[39] and Critical Reflection. This cyclical approach was adopted in order to build a "logical chain of evidence" (Miles & Huberman, 1994) which was hoped to offer some insights into the authentic lived experiences of the participants being studied.

Framework Analysis, described by Ritchie and Spenser (1994) is an analytical method incorporating the distinct stages of Familiarisation; Identifying a thematic framework; Indexing; Charting; Mapping and Interpretation. These stages allow the researcher to manage large volumes of data in a systematic, verifiable and continuous manner. For this reason, a modified adaption of these five key stages was adopted and is explored in the following sections.

Familiarisation: Once the data had been carefully collected, then the process of bringing order to the data began. This consisted of sorting and organising the data (averaging 120 pages of transcript for each of the three universities) into patterns, categories of analysis and basic descriptive units. These categories and descriptive units can be theory driven, research driven or data driven. This study adopted the research driven method (based upon Tesluk *et al.* (1997), from a synthesis of the works of Amabile (1988), Kanter (1983, 1988) and others) in conjunction with content analysis (CA - without frequency counts) as this method (CA) has proved a useful technique for testing or confirming existing research (Silverman, 2005). A Transcript Analysis Thematic Framework analytical framework (Appendix G) was devised incorporating categories broadly derived from the interview guide and

[39] See appendix G for this.

categories within the prescribed culture scenarios in the Organisational Culture Assessment Instrument. The approach broadly follows the "content-analytic summary table method for exploring cross case displays" outlined by Miles & Huberman (1994:183-184). Where the method in this study differs from previous studies (see for example Heracleous, 2001) is by connecting this analysis to Schein's (1985) Theoretical Framework for Analysing Basic Assumptions about Organisational Culture (Appendix A) and the OCAI Framework.

To become acquainted with the transcript detail, the researcher proof-read these transcripts to ensure accuracy of recording, transcribing and interpretation of comments attributable to the participants. Few inaccuracies were detected and these centred upon education acronyms such as TLTP, CTI. The transcripts were then read repeatedly in order to acquire feeling for them and derive some form of preliminary sense making (Silverman, 2005) and also to identify the key issues relevant to the analytical framework (the Transcript Analysis Thematic Framework) and also note emergent themes (Ezzy, 2002). During the familiarisation stage all the data within the transcripts and researcher's notes were examined in a process of continual comparison between the data and the categories within the Transcript Analysis Thematic Framework. In doing this the researcher not only gained an overview of the richness, depth and diversity of the data, but began the process of "cross-case analysis" (Miles and Huberman, 1994:183) in order to identify generic issues, big ideas and themes. What was important at this stage was gain a sense of authentic experiences and place these issues and/or themes firmly in context in order to gain a feel for the messages in the data.

Identifying thematic content: During the familiarisation stage, the researcher listened to and read through the material i.e. digital recorded files, transcription and interview notes, identified data directly relevant to categories in the Transcript Analysis Thematic Framework and the research questions (two and three) and made notes on the range of responses. Key issues, big ideas and other emergent or meaningful statements were then selected and copied onto the Index Category (see Indexing in next section) on the Transcript Analysis Thematic Framework.

Whilst identifying the data content this cyclical (Data, Transcript Analysis Thematic Framework, Reflection) approach involved both logical and intuitive thinking about the relevant and important issues, and about implicit connections between ideas (Dey, 1993). This data content was used to populate the analytical framework matrix and constitutes the researcher's 'logical chain of evidence' (Miles and Huberman, 1994:p.260). The main headings (categories of concepts) under which these findings were analysed in detail are:

- Dominant characteristics
- Organisational Leadership
- Management of Employees
- Organisational Glue
- Strategic Emphasis
- Success Criteria
- Innovations in Self- and Peer-Assessment
- Data from Documentary Analysis (Chapter Four, section 4.2)

Indexing: Refers to the systematic process applied to the data transcriptions. In this process, by using the concepts above (derived from existing research) a label or code was used as a structuring device where the theme, matched concept or event appeared in the transcript (Rabiee, 2004). Indexing references were recorded using the code in section 4.2.2.3 (footnote 70) which also incorporated the line numbers on the transcriptions (see Appendix G for an example of indexing process). Completing this process for all groups in each university allows intergroup comparison and cross university examination of the same sifted data. For example, all data units that referred to the concept of 'stimuli/drivers/supporters of assessment innovation' were retrieved. Indexing or coding of data demands intense concentration in order to find and judge the significance of instances of themes, matched concept or events (Ezzy, 2002). Nonetheless, the process is made transparent and handy to the researcher and reader as to how the data were reduced, filtered and organised.

Charting: Having applied the Transcript Analysis Thematic Framework matrix to each individual transcript, data were then extracted to assemble a picture (chart) of the data for the focus group as a whole (Ritchie and Spencer, 2002:p.317). Charting

normally involves lifting quotes from the original transcript and re-arranging them under newly devised thematic headings. In this study however, charting meant lifting appropriate material and placing them under one of the main concept categories (Dominant characteristics etc.) mentioned above. Chart headings were derived from prior research and the research questions. In this study, charts were used as a forming tool to extract enough information to enable a clearer pattern of organisational culture and pedagogical innovation issues to emerge.

Mapping and interpretations: When all the data had been sifted and charted according to main concept categories, the researcher began to carefully assemble the key characteristics of the data, and to map and begin interpreting the data set as a whole (Ritchie and Spencer, 2002:p.320). The representative accounts offered here may appear to suggest that the researcher was working in a mechanical way, making obvious conceptualisations and connections. However in reality, each step required a systematic approached coupled with leaps of intuition and imagination (Ritchie and Spencer, 2002:p.321). A primary concern at this stage was to comprehend phenomena not on the basis of the researcher's perspective and categories, but from those of the participants in their own setting and context. In other words, it was an attempt to achieve interpretive validity by learning how the participants in this study make sense of what is going on in the issues investigated, rather than pigeonholing their words into the researcher's subjectively devised framework (Miles & Huberman, 1994). In this next stage (Interpretation), the researcher attached meaning the displayed data in its context.

Interpretation: This involved the researcher in examining words, their frequencies, intensity of comments and extensiveness of any big ideas in order to attach meaning to the data. The aim here was to offer some tentative explanation on relationships and linkages among the descriptive patterns or dimensions in order to make sense of respondents lived experiences and explore why people associate and discriminate ideas and phenomena (such as S&PA) in the way they do. Thus it is concerned with what participants' accounts may mean and alternatively interpretations of these.

Evaluation: This stage involved the researcher in making judgements, assigning value and making inferences to what has been analysed and interpreted and what would be selected in order to move beyond a descriptive analysis in order to document the big picture of organisational culture within each university. In doing this, reference was continually made to the other data sources (university prospectus and OCAI configurations) in order to reach a tentative cultural profile for each university. This next section describes the analysis of the documentary artefact (University Prospecti).

3.3.4.2.3 Qualitative Data Analysis Process for University Prospecuts

The university prospectus is a document incorporating a portfolio of programmes, activities and services and is one document which reflects aspects of the organisational culture of the university. The prospectus is a public discourse document that can be perceived as a representation of the commodification of language (Heller, 2003; Fairclough, 1993) which consigns the language therein to a product of the market place and consumer demands. The prospectus document not only reflects university values, processes and systems but contributes towards their creation and reproduction. The approach adopted to analysing these prospecti drew on a similar exercise undertaken by Fairclough (1993). However unlike Fairclough's (1993) this study adopted a synchronic comparison of the discourse within the documents and focused on the visual and verbal meaning in turn within each contrasting university type as a way of exploring the idealogical vision, values and assumptions embedded in the visual and textual discourse.

The analytical framework developed in sections 3.3.4.2.1 to 3.3.4.2.3 above for analysing the focus groups interviews for this research can be seen as rooted in the adapted theoretical model of Schein's (1984) work and is reproduced here to aid continuity (Figure 3.3).

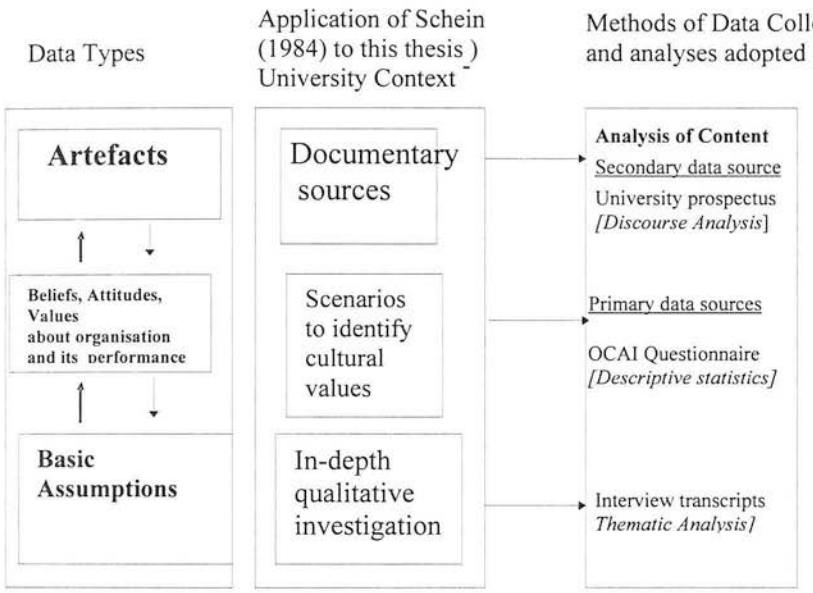


Figure 3.3: Researcher's Data Analysis Strategy for cultural deconstruction

Column 3 shows that the primary data collected from the focus group interviews evolved from two established tools of inquiry into organisational culture: firstly, The Competing Values Framework/Organisational Culture Assessment Instrument (Cameron and Quinn, 1999) and secondly, the 'focus group interviews' (Schein, 1984; 1985). The merging of these tools of inquiry resulted in the author's framework for exploring the relationship between the influence of university culture and pedagogical innovation and is outlined below (Figure 3.4 – linked with researcher's conceptual model in Figure 2.3).

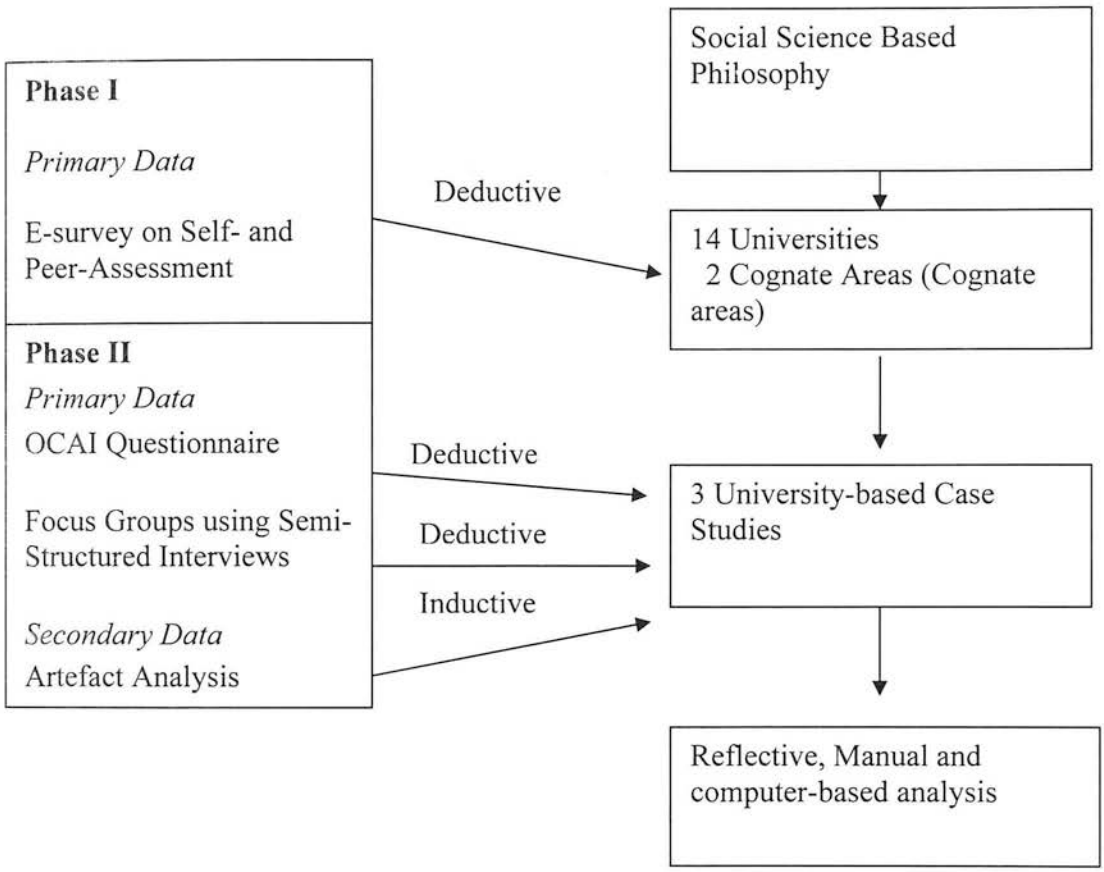


Figure 3.4 Schematic Research Strategy and tools of inquiry

This schematic framework constitutes the overall strategy for undertaking the research and will be explored and described in subsequent sections of the thesis.

3.4 Methodology Limitations

All research by its nature involves limitations due to the nature of reality. In raising the question as to whether the theoretical lens adopted was appropriate for informing the academic community about the influence of organisational culture on pedagogical innovation, it is acknowledged that the application of a different definition of organisational culture may have yielded different research questions, demanded an alternative methodology and yielded alternative data, interpretations and meanings. It is the author's view that although the culture questionnaire used involved very small numbers in terms of overall university staff populations, it remains to be explored with future research whether a larger response rate would

have yielded a clearer cultural picture of the contrasting university types. The model could be enhanced to reflect a clearer picture of professional culture once this had been defined.

Though a number of documents were collected from each university within the sample on a range of policy and implementation matters (see section 3.3.2.3 Documentary Sources) this study limited the analysis of these to the undergraduate university prospectus. Future research could analyse the modality of language used in each document in conjunction with the culture profiles created here to examine for example degree of cultural penetration.

The present study explored five universities in total although only three were used in the final analysis of this thesis. Future research could undertake one more investigation of a Civic university which would then mean a second group of university data are available for comparison with these findings.

Although this research remains unique in that it involved multiple participants (administrative/clerical, management and academic groups) no student or support staff representation was involved which may yield contrasting insights and new dimensions.

3.5 Chapter Summary

This chapter discussed how the research methodology drew on a mixed methods approach within a subjective approach to interpretive organisational research. The importance of this multi-method approach highlighted the need to adapt the research design to the context of the research setting. I have argued and justified how these mixed methods can be applied usefully to studying the lived experiences of actors within a university context, whilst highlighting the limitations this approach has with regard to themes which are privileged by a particular technique. A multi-level, multi-method approach assists in overcoming these limitations to a large degree. The methodology employed is not contentious. The literature reveals considerable precedence in the value of interpretive methodology for studying subjective experiences and practices within business and industrial organisational research

settings. What may be unusual in this case are the adaptive processes employed in response to this context being studied. Using this multi-method approach and adapting the investigative process resulted in data of an adequate richness to enable thick description (Geertz, 1973) and in-depth analysis. In chapter Four of the thesis, which now follows, I present this description of the case studies.

CHAPTER 4:

RESEARCH FINDINGS

4.1 Introduction

Before the findings on the main organisational culture supporters/inhibitors of pedagogical innovation are discussed, it is important to comment upon the current incidence and threshold of pedagogical innovation as represented by self- and peer-assessment. This chapter presents this comment and reports on field work results from two data collection exercises which were outlined in Chapter Three; the first being the electronic online survey questionnaire and the second comprising the three university case studies consisting of a series of multi-level interviews, the OCAI and analysis of the university postgraduate prospectus. The first section of the chapter comments upon the dispersion and penetration of self- and peer-assessment within two business cognate areas across three contrasting Scottish universities. In doing so it contributes to the limited knowledge base of where and how self- and peer-assessment are being used and offers some insights into the experiences of those who have implemented these regimes. The section following this (4.2) comments upon the OCAI questionnaire and interview data collected from a cross section of university staff. In doing so it offers comment on the culture within their institution and evidence on the contribution which university organisational culture makes in supporting or inhibiting innovative assessment practice. Documentation analysis of each university undergraduate prospectus is then used to triangulate these findings in order to strengthen the integrity and robustness of these data. Overall the respondents were broadly representative of the target group in terms of university sector and cognate areas (department/division).

4.1.1 Respondent Analysis

Overall, respondents were evenly split between those from Accountancy/Finance departments (46%), and Management departments (54%). There was a modest variation in the average respondents per institution of a given type – 40 from the four Ancient universities, 28 from the four Civic universities and 50 from the six Modern universities.

Table 4.1: Number of Questionnaire Respondents, by cognate area and category of university as a proportion of the total number of staff in the two academic departments chosen

Cognate area	**Accountancy & Finance (A&F academics)**			
University Category	**Population**	**Avge No.**	**A & F Replies**	**% replies from the university A & F populations**
Ancient (n=4)	48	(12)[52]	13	**27%**
Civic (n=4)	68	(17)	16	**24%**
Modern (n=6)	78	(13)	25	**32%**
Total (n=14)	**194**		**54**	
			46%	
Cognate area	**Management (Mgt academics)**			
University Category	**Population**	**Avge No.**	**Mgt Replies**	**% replies from the university Mgt populations**
Ancient (n=4)	67	(17)	28	**42%**
Civic (n=4)	53	(13)	11	**21%**
Modern (n=6)	101	(17)	25	**25%**
Total (n=14)	**221**		**64**	
			54%	
			Totals	
	Population		**Number of Replies**	**Total percentage who replied from the responding university population**
Ancient (n=4)	115		40	35%
Civic (n=4)	121		28	23%
Modern (n=6)	179		50	28%
Total (n=14)	**415**		**118 (25%)**	
			100%	

Table 4.1 shows that within Accountancy departments, the average number of staff in the "Modern" and the "Ancient" universities are similar (13 and 12[53]), whilst the "Civic Universities" shows the higher figure of 17. Within the Management

[52] 13 is derived by dividing the total number of accounting academics from all 14 universities (78) by 6 (the number of Modern universities in Scotland)

departments the "Ancient" and "Modern" universities show a similar figure of 17 staff per department whilst the "Civic Universities" show the slightly reduced figure of 13.

Of the 118 responses, 113 accepted the definition of "assessment" provided on the questionnaire[54]. The remainder offered modest enhancements to the definition before proceeding. Typical enhancements suggestions were the importance of feedback and of matching assessments to learning outcomes.

4.1.2 Demographics Characteristics of Respondents

The reported teaching experience of respondents was substantial, with 48% having between 5 and 15 years' service within their current department and a further 25% having worked in their current department for more than 15 years. The average age of respondents was 45 years. Very few respondents (three) were in the age bracket 21 to 29 with staff over 60 years in the "Ancient" universities being represented twice more than staff in "Civic" Universities and four times more than representatives in the "Modern" Universities. Figure 4.1 shows the demographic analysis with respect to university category.

[54] For the purposes of this questionnaire, assessment refers to the marking, grading or defining of assessment criteria.

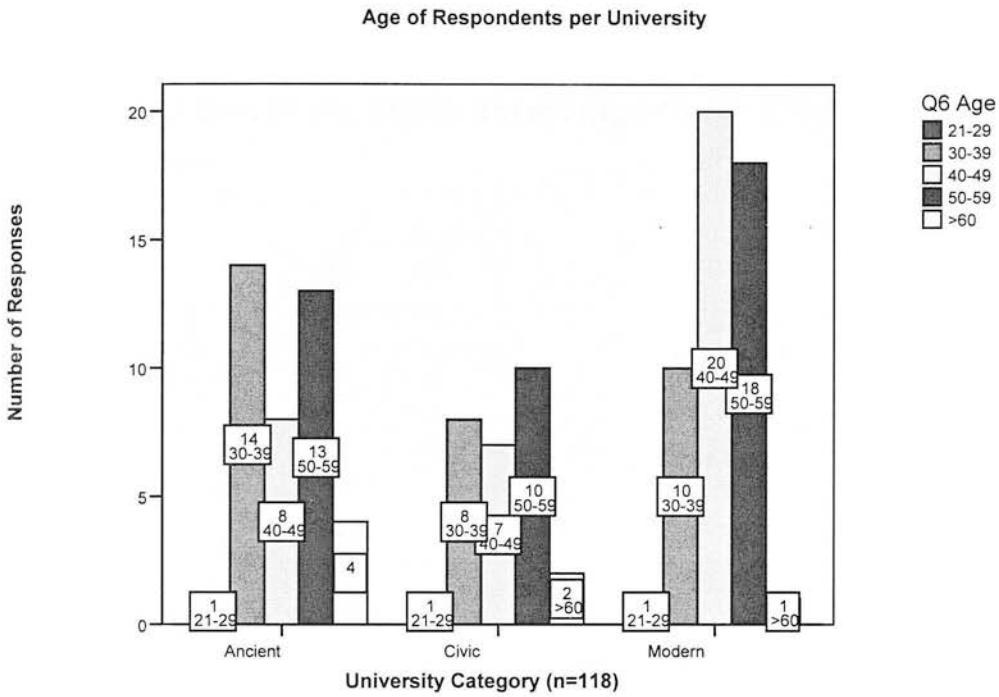


Figure 4.1: Age Profile of Accounting and Management academics per university category

The data also revealed that staff aged 30 to 39 were in the majority amongst the "Ancient" University respondents (35%), yet the same age band represented 20% of the "Modern University" respondents. Seventy-eight percent of respondents are over 40 years in the "Modern" Universities whereas the figure is 62% in the Ancient" Universities. These latter findings appear to suggest that the staff profile of those who responded to this questionnaire is on average about 10 years older than those from the overall higher education population. Whether this reflects the age of staff in all academic departments within Scottish universities or simply the age distribution of those who responded to the questionnaire remains open to question.

All but one of the respondents reported being involved in a teaching role to a greater or lesser extent (Table 4.2). Only 19 out of 116 respondents (16%) reported spending less than 40% of their remaining time[55] on teaching (60% on research). Only one respondent reported devoting 100% of their time to the research activity, whereas nine respondents (7%) were 100% devoted to the teaching role. A clear

[55] Remaining time is that time available to devote exclusively on teaching and research after doing other activities such as administration, income generation and work of that nature.

threshold is identifiable at the 40% teaching limit where 45% from the Ancient University sector reported devoting more than 60% of their remaining time on research (n=18, N=40). The comparable figure for those in the Civic University sectors is 35% (n=9, N=26), with the figure being 14% (n= 7, N=50) for the Modern University sector.

Table 4.2: Proportion of time excluding administration and consultancy activities devoted to teaching and research

Q2 Teaching													Totals
		0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%	N=
University Responses	Ancient	0	1	3	3	11	5	4	2	5	4	2	40
	Civic	1	1	2	1	4	5	4	5	1	0	2	26
	Modern	0	2	0	5	0	7	5	8	11	7	5	50
Total		1	4	5	9	15	17	13	15	17	11	9	116[56]
Q2 Researching													
		0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%	
University Responses	Ancient	2	4	5	2	4	5	11	3	3	1	0	40
	Civic	2	0	1	5	4	5	4	1	2	1	1	26
	Modern	5	7	11	8	5	7	0	5	0	2	0	50
Total		9	11	17	15	13	17	15	9	5	4	1	116

Table 4.2 shows that across all three university categories, excluding administration, consultancy and duties of that nature, 71% of the respondents' spent 50% or more of their remaining time on matters associated with the teaching activity (n=116).

4.1.3 Respondents' Experience of Self- and Peer-Assessment

Of the total respondents of 118, 50% had direct experience of being involved in some form of self- and peer-assessment; 39% of these were from Ancient Universities, 12% were from Civic universities and 49% were from Modern Universities (Figure 4.2).

[56] Two responses were unusable for this question making the total actual responses 118

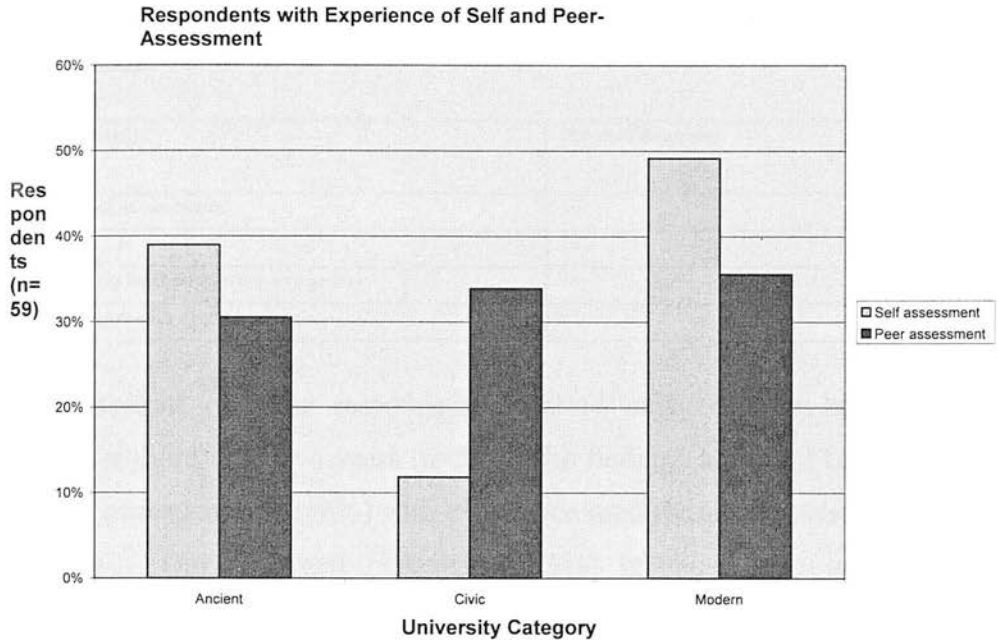


Figure 4.2: Percentage of respondents with experience of using self- and peer-assessment (n=59, N=118)

The results that follow refer to those 59 respondents who reported having had experience of self- and peer-assessment although individual responses to each question vary. Figure 4.2 demonstrates that in terms of peer-assessment the three categories of university all report similar numbers with experiences, whereas in self-assessment there is a more noticeable variation particularly between the Civic universities and the other two categories.

4.1.3.1 Extent of Participants' Involvement in S & PA

Staff using self- and peer-assessment techniques appear to have been involved in one of two roles – as a project leader, responsible for the design, development, implementation and evaluation of the technique, or in a support role as a tutor, helper, or team member involved mainly in the implementation. Of those who had used self- and peer-assessment techniques, 81% (n=59) had done so in the role of initiator. The remainder had been involved in the capacity of assistant. Table 4.3 summarises the responses of those who have used self and/or peer-assessment and indicates the level of commitment to using the techniques.

Table 4.3: Frequency of use of self- and peer-assessment techniques by respondents reporting such usage (n=50)

Frequency of Use	Per cent Response
Used it once and never again.	10
Occasionally	24
Intermittently (at least once every two years)	14
Regularly (at least once every year)	52

Forty-four percent of these respondents reported using one or both of these techniques for more than five years (n=59). The findings indicate (Table 4.3) that the majority of respondents (66%) with experience used the technique(s) regularly or intermittently. Only a small percentage (10%) of those who had used the technique(s) reported they would not use them again.

4.1.3.2 Academics' Evaluation of S & PA as Assessment Techniques

As student assessment techniques, 67% of respondents rated *self-assessment (SA)* at 4 and above, whilst 76% rated *peer- assessment (PA)* at 4 and above (Table 4.4).

Table 4.4: Respondents' views of self- and peer-assessment as an assessment technique

Based on your experiences what is your general appraisal of S&PA as student assessment techniques? Use the following scale where 1 is poor and 7 is excellent.		
Rating Scale	Ranking - Self assessment	Ranking - Peer assessment
Poor 1	5th (11%)	7th (4%)
2	7th (3%)	5th (11%)
3	3rd (19%)	6th (9%)
4	4th (15%)	3rd (15%)
5	1st (26%)	1st (28%)
6	2nd (22%)	2nd (20%)
Excellent 7	6th (4%)	4th (13%)
Total Respondents	n=27	n=46

There were no reported cases of students refusing to take part in any of the *self-* or *peer-assessment* projects. Seven percent of respondents reported that students had strong reservations about taking part in self-assessment (n=30) whilst the comparable figure for peer-assessment was 10% (n=49). Twenty-seven percent of respondents reported that students accepted the self-assessment exercise willingly (n=30) whilst

the comparable figure for peer-assessment was 18%. Over fifty per cent of respondents reported that students were broadly happy to take part in self-assessment (n=30) whist the comparable figure for peer-assessment was 43% (n=49).

4.1.3.3 Scale of Adoption of S & PA as Assessment Techniques

There are reported findings of both self- and peer-assessment techniques being adopted in both accountancy and management cognate areas. A noteworthy point is that across the Scottish university sector, self- and peer-assessment techniques have not been extensively exploited within either Accountancy or Management departments - 60% of those using self- and peer-assessment were doing so within a single module (n=45). A further 24% have applied the technique within 2 to 5 modules (n=45), suggesting a modest uptake of the techniques. Forty five percent of respondents reported using self-assessment regularly[57] (n=53) whereas the comparable figure for use of peer-assessment was 60% (n=55). The levels with the highest reported usage for both self- and peer-assessment were Level 3 and Masters Level (Table 4.5).

Table 4.5: Summary statistics of usage at undergraduate and postgraduate levels for self- and peer-assessment techniques

Level of study	Self assessment % response (n=51)	Peer assessment % response (n=53)
Undergrad L1	10	8
Undergrad L2	8	9
Undergrad L3	35	30
Undergrad L4	20	20
Masters (LM)	25	27
Professional (LP)	2	5

A prominent observation was the level of obligation on the student to participate in these exercises with 76% of respondents at Level 3 (n=17) and 92% of respondents at Masters Level (n= 12) indicating compulsory participation of the students in the *Self-assessment* exercise. For *peer-assessment*, 65% of respondents at Level 3 (n=23) and 84% of respondents at Masters Level (n= 19) indicated compulsory

[57] Regularly being defined as "at least once every two years"

participation of the students. Very few respondents reported awarding course credits for student participation in both techniques, and those who did reported modest levels of credit, typically around 10% of the student's final mark. Similarly 46% of respondents at Level 3 (n=13) and 59% of respondents at Masters Level (n= 12) indicated awarding between 10% and 20% of the student's final mark for the *self-assessment* exercise. For *peer-assessment* the data revealed 47% of respondents at Level 3 (n=19) and 53% of respondents at Masters Level (n= 19) awarded between 10% and 20% of the students final mark from *peer-marking*.

Across all levels *self-assessment* was reported being used within core modules (n=32) although instances least reported were at Level 4 (20%) and Professional Level (6%). *Peer-assessment* had more reported instances within core modules (n=41) with similar small numbers being recorded for Level 4 (10%) and Professional Level (7%).

4.1.3.4 Product/output to which S & PA Techniques were Applied

The adoption of *self- and peer-assessment* was associated within a range of assessment methods with group work, oral presentations and projects being the three most common areas of application. Table 4.6 highlights three distinctive clusters of application:- cluster 1 consisting of group work, oral presentations and projects (56%); cluster 2 comprising writing/essay style and case studies (27%[58]) and cluster 3 drawing together professional skills, numerical skills and Other (15%). Cluster 3 had 16 recorded entries between them, whereas cluster 1 had 116 recorded entries).

[58] Working with integers resulted in losing 1% among the 8 groups

Table 4.6: Assessment Areas (Products) where Student Self- and Peer-assessment has been applied

Self-assessment	Ranking (n= 73)	Peer-assessment	Ranking (n= 99)
Group work (GW)	1st (22%)	Group work	1st (33%)
Projects (PR)	2nd (18%)	Oral presentations	2nd (26%)
Oral presentations (OP)	3rd (16%)	Projects	3rd (16%)
Writing/essay style (WE)	4th (15%)	Case studies	4th (11%)
Case studies (CS)	5th (12%)	Writing/essay style	5th (6%)
Professional skills (PS)	6th (8%)	Professional skills	6th (5%)
Numerical analysis (NA)	7th (5%)	Numerical analysis	7th = (1%)
Other (please specify below) (OTH)	8th (3%)	Other (please specify below)	7th = (1%)

Further subdividing these eight areas by departmental and university category (Table 4.7) reveals Group Work to be most evident in Management departments of both the Ancient and Modern universities but less so in the Civic universities.

Table 4.7: Where self- and peer-assessment have been used, by department, by university category

		Cluster One						Cluster Two					Cluster Three					
Assessment Areas (Products) where S&PA been applied		GW	GW	PR	PR	OP	OP	WE	WE	CS	CS	PS	PS	NA	NA	OTH	OTH	Total
SA=Self-assessment; PA=peer assessment																		
		SA	PA	SA	PA	SA	PA	SA	PA	SA	PA	SA	PA	SA	PA	SA	PA	
Uni Cat	Dept.																	
Ancient	A&F	1	1		1	1	1											5
	Mgt	4	10	7	9	7	9	2		2	4	3	2	1				60
	Other																	0
Civic	A&F		1		1					1	1							4
	Mgt	1	3	1	3	1		1		1	1	1	1					14
	Other																	0
Modern	A&F	2	3	2	4	1	1	4	3	2	2	1	1	1	1			28
	Mgt	6	12	2	6	3	4	4	3	2	3	1	1	1				48
	Other	2	3		2		1			1				3				12
	Count	16	33	12	26	13	16	11	6	9	11	6	5	6	1	0	0	171

An interesting point to note is the almost complete absence of either technique for assessment involving numerical analysis. Given the nature of accounting work, where the scope for multiple solutions is limited, it is intriguing to note the limited uptake of either technique by accounting academics within the Ancient and Civic university sectors. Both self- and peer-assessment techniques were being used more by management academics in both the Ancient and Modern university sectors with the largest number of entries being recorded in the "Ancient" university sector (n=60) and the least recorded entries by the accounting academics in the Ancient (n=5) and Civic universities (n=4). It would appear from the responses that within the Accounting community, the "Modern" university sector is more active in the use of self- and peer-assessment across the complete range of activities offered on the survey while in the Management community, the Ancient university sector is more active in the use of self- and peer-assessment across the majority of activities offered on the survey. However, part of the explanation for this may be the relative proportion of those respondents from each university category as summarised in Table 4.1.

Four respondents indicated they had used self- and peer-assessment outwith the areas specified in the questionnaire for 1) Intra-team assessment 2) Decision making in business simulation games 3) Participation in seminars and workshops, whilst the fourth reported applying *peer-assessment* to coursework that required students to create a three-year plan using Excel©. While most of the marks were considered relatively straightforward to apply, since they were given for numerical outcomes, some marks were available for more subjective aspects e.g. ease of use, presentation. The tutor acted as arbitrator when the occasional dispute arose.

4.1.3.5 Size of student cohorts where S & PA Techniques were Applied

Both *self-assessment* and *peer-assessment* projects were conducted with varying sizes of student cohorts, the most common grouping of students in *self-assessment* being 20-50 (32%, n=31) while in *peer-assessment, cohorts of* 20 to 50 students and 52 to 100 students were equally represented (27%, n= 48).

4.1.3.6 Official weighting of self and peer marks adopted by Academic staff

Peer-assessment (n=51) was used for *both* grading/scoring and feedback (53%), whilst for grading/scoring *only* (27%) and feedback *only* (20%). *Self-assessment* (n=29) was used for *both* grading/scoring and feedback (45%), whilst for grading/scoring *only* (7%) and feedback *only* (48%).

4.1.3.7 Directionality, Matching and Privacy Issues in Adopting PA

The directionality of the *peer-assessment* exercise varied with the bi-directional model (student to student and reciprocal) represented in 31% of responses (n=47). Matching of student assessor to assessee was undertaken by the tutor (64%), by the student (13%) and anonymously (23%, n=44 in all 3 cases). Where *peer-assessment* was undertaken, it was completely anonymous in 41% of the cases reported and completely open in 21% of cases reported (n=34). In terms of innovative ways of using self or peer-assessment, only 6% of cases reported conducting peer-assessment on-line (n=47).

4.1.4 Perceptions of Driving Forces behind Adopting S & PA

A wide range of entries was recorded against the "motivation" factor by those who were using student *self-assessment* (Table 4.8). High entries were recorded against the option suggesting that participating in the exercise may improve the quality of student work and develop the students' aptitudes and capabilities as autonomous learners (though which aspects of quality are not specified). Very few responses indicated "self-centred" motives (such as efficiency in marking) as the prime motive for using the technique(s).

Table 4.8: Primary motives for using student self-assessment

From the following list choose your top 3 original motives for adopting Student *self-assessment*? Study the complete list before you choose THREE only. Actual Responses			
	1st	**2nd**	**3rd**
Thought it might be an idea worth trying out	5	1	3
Thought it might be a good response to university policy	1	1	2
Thought it might save me (colleagues) time	2	1	2
Thought it might improve the quality of student work	13	5	4
Thought it might ease increasing volumes of marking	1	1	6
Thought it might lead to higher standards in the work the students produced	7	5	5
Thought it might lead to greater student commitment/responsibility	11	9	5
Thought it might improve the feedback to the students	6	3	8
Thought it might develop the student assessment skills	4	4	5
Thought it might give students an insight into the assessment process	2	3	6
Thought it might provide assessment variety	1	2	2
Thought it might improve student bonding	1	4	4
Thought it might boost student self-confidence	4	2	3
Thought it might encourage students to work more comfortably in group activities	4	3	8
Total Respondents	**41**		

Similarly, the dominant finding from the data indicates that the main intention behind using student *peer-assessment* (Table 4.9) was a belief that it might lead to greater student commitment and responsibility. Reinforcing the views expressed earlier on efficiency savings, few answers suggested that "self -centred" motives for staff, such as efficiency in marking, was the prime motive for using the technique. This observation is further supported by responses reporting that student assessment had been used to supplement (rather than replace) staff assessment at every level from one to professional in self-assessment and in most cases for peer-assessment. Whilst a focus for the survey was on university culture as a factor influencing the policy-practice continuum, respondents (N=46) reported university policy to be a significant motive in adopting self- and peer-assessment.

Table 4.9: Primary motives for using Student Peer-assessment

Prioritise your top 3 original motives for adopting Student *Peer-assessment*. Study the complete list before you choose THREE only.			
	1st	**2nd**	**3rd**
Thought it might be an idea worth trying out	4	2	2
Thought it might be a good response to university policy	0	1	0
Thought it might save me (colleagues) time	1	0	0
Thought it might improve the quality of student work	8	5	3
Thought it might ease increasing volumes of marking	0	2	1
Thought it might lead to higher standards in the work the students produced	9	5	0
Thought it might lead to greater student commitment/responsibility	12	13	4
Thought it might improve the feedback to the students	6	3	8
Thought it might develop the student assessment skills	4	4	3
Thought it might give students an insight into the assessment process	2	4	5
Thought it might provide assessment variety	0	2	3
Thought it might improve student bonding	0	2	2
Thought it might boost student self-confidence	0	0	1
Thought it might encourage students to work more comfortably in group activities	3	4	8
Total Respondents	**46**		

This contrasts quite strikingly with Table 4.10, which reveals a number of respondents (both with and without self- and peer-assessment experience) believe Institutional demand for a variety in assessment methods to be a main driver for implementing the techniques.

In terms of preparing the students for these forms of assessment; 77% reported clarifying the objectives of self- and peer-assessment with the students whilst 85% discussed staff expectations with the participating students. The time devoted to briefing/instructing/training the students was typically up to one hour (72%, n=25). The following matters were reported (n=48) as having been addressed with colleagues prior to implementing either technique: objective setting (54%), expectations (54%), acceptability (33%) and ethics in student marking (31%). Marking schedules (39%), checklists (37%) and response grids (35%) were the most common tools used by tutors to illustrate assessment criteria to students (n=49).

4.1.5 Respondents with No Experience of Self- and Peer-assessment

Of those respondents who had no direct personal experience of being involved in some form of self- and peer-assessment, 90% percent reported they would use *peer-assessment* formatively for agreeing criteria with students (n= 48); 88% would agree

to use *peer-assessment* formatively for marking/grading purposes (n=49). However, only 39% would use *peer-assessment* for summative purposes - marking or grading (n= 51). There was some support (23%) for the notion that a student's *peer assessed* mark should count for more than 50% of the student's overall module /unit mark (n=60).

In terms of this group's perception of these techniques, 42% reported they believed it to be good in theory but in reality complex to adopt. Twenty-five percent reported knowing little about either of the techniques.

4.1.6 All Respondents

The final section of the questionnaire was open to both implementers (experience) and non-implementers (no experience) of self- and peer-assessment and the following tables and figures are the replies from all. Of the factors which surface as notable drivers/reasons for implementing student self/peer-assessment (Table 4.10) the two significant ones appear to be student-centred issues: 1) encouraging student reflection and 2) improving student learning of the subject area.

Table 4.10: Main drivers/reasons for implementing student self- and peer-assessment

Which of the following factors best sums up the main drivers/ reasons for you implementing Student Self/Peer-assessment? Please indicate as follows:- Major Driver or Secondary Consideration				
	Major Driver	**Rank**	**Secondary Consideration**	**Rank**
To provide variety in assessment	34		34	
Student demand for variety in assessment methods	9		50	
Institutional demand for variety in assessment methods	9		52	2nd=
Improve student learning of subject area	71	2nd	12	
Improve student understanding of assessment process	46	3rd=	25	
Interest in new teaching/assessment ideas	46	3rd=	26	
Research collaboration	7		49	
Part of my personal development as a lecturer	22		40	
Peer pressure to demonstrate innovative approaches	4		52	2nd=
Improve job satisfaction	21		39	
It would result in less work for me	6		52	2nd=
It would release time from me to pursue research	5		53	1st
It would encourage student reflection	74	1st	8	
Personal interest in education theory	26		43	
Other	6		8	
Total Respondents	**93**			

Secondary considerations revealed a slightly different picture, one of more staff-centred/institutional-centred issues. Top of the list were staff-centred issues: the research agenda issue followed by reducing workloads for staff, institutional and student driven issues about varying assessment methods figured equally high on the respondents ratings.

All respondents reported that the top two major obstacles to using these techniques (Table 4.11) centred around 1) *the time required to develop and prepare for using self and peer assessment* (48%, n=98) and 2) the *ethical issue of students' grading students* (55%, n=98). The most significant secondary consideration, and with a

specific cultural dimension, appeared to be 1) the issue of *lack of trust by the management on the motives for introducing an element of self- and peer-assessment* (54 responses, n=98 and most likely to be the perception of those non-implementers of self- and peer-assessment in the light of responses from those who had used self- and peer-assessment reported in Table 4.8 and 2) the student body being unsympathetic to trying new assessment methods (52 responses, n=98). When primary and secondary factors scorings are combined the *ethical issue of students' grading students* moves to first position, *time required to develop and prepare for it* to second position and *students unsympathetic to try new assessment methods* to third position. If these three factors are linked, it is perhaps unsurprising that we have the current level of self- and peer-assessment activity.

Table 4.11: Main objections/ reservations to implementing self- and peer-assessment

Which of the following best sums up your main objections/ reservations to implementing self- and peer-assessment? Please RATE/SCALE as follows:- Major Obstacle or Secondary Consideration				
	Major Obstacle – Number of Entries		**Secondary Consideration - Number of Entries**	
Valuing traditional forms of assessment	32	4th	37	
Too time consuming in distracting from personal research	16		51	3rd
Not knowing what (assessment approach) really works	26		40	
Convincing colleagues of the worth of S&PA	21		44	5th
Lack of thanks or recognition	14		48	4th
Lack of technical know-how of the process of doing it	23		41	
Complying with the rules and regulations of the Institution for introducing a change of this nature	31	5th	38	
Lack of trust by the management on the motives for introducing an element of S&PA	12		54	1st
Students unsympathetic to try new assessment methods	23		52	2nd
Time required to develop and prepare for it	47	1st	31	
Your personal worries about standards	40	3rd	31	
The ethical issue of students' grading students	46	2nd	35	
Others (specify in Q 50)	5		5	
Total Respondents	**98**			

However when this data is analysed by category of university a more complex picture emerges as illustrated in Figure 4.3.

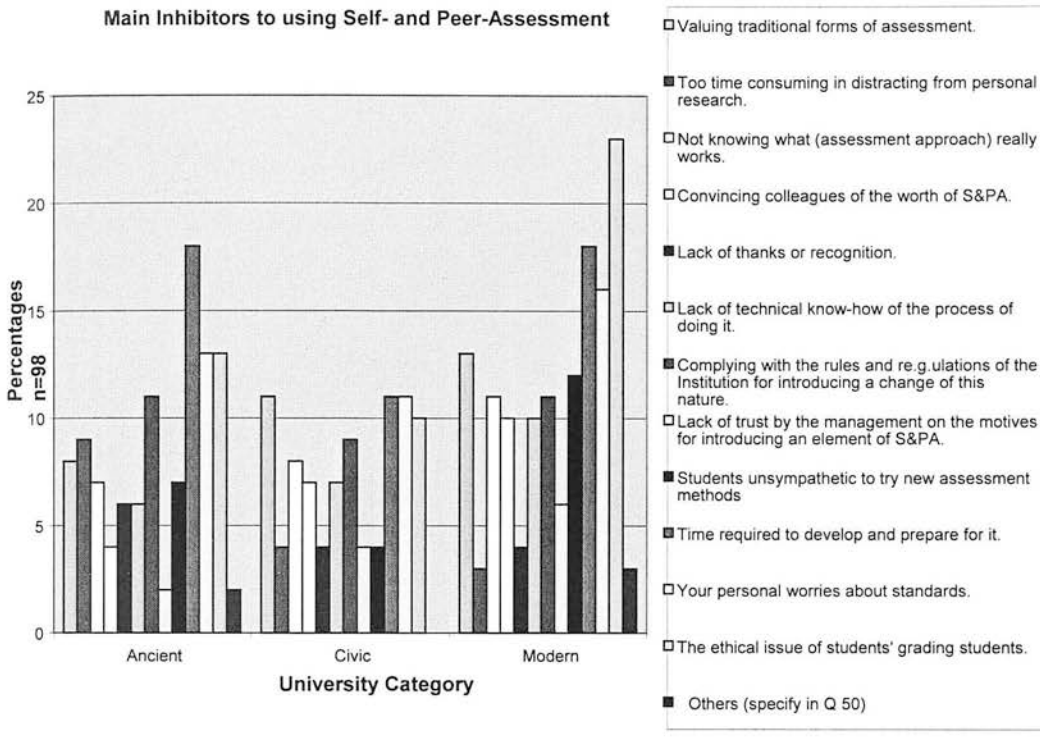


Figure 4.3: Inhibitors to adopting self- and peer-assessment by university category

The overall impression formed from Figure 4.3 suggests that the main inhibitors to adopting self- and peer-assessment in the Ancient and Modern University responses appear to be academics' personal concerns about students grading each other, their concerns about standards where students mark each other, and the time required to develop these regimes. Interestingly, the ethical issue of students grading each other is rated twice as strongly in the Modern university sector as in the Ancient university sector.

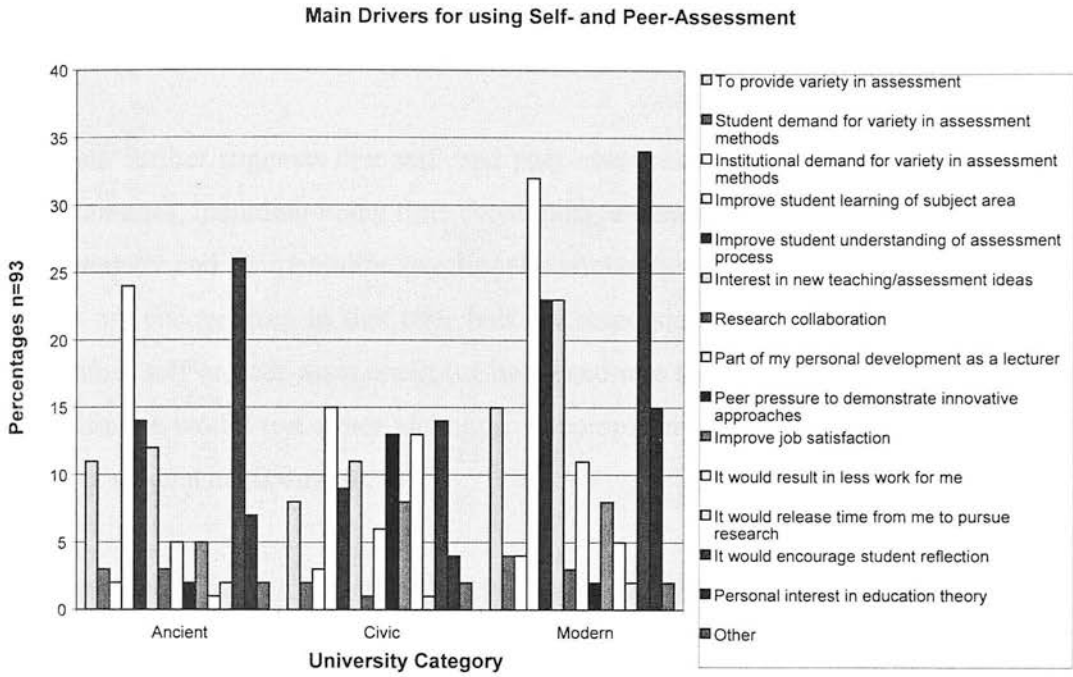


Figure 4.4: Drivers to adopting self- and peer-assessment by university category

The overall impression formed from Figure 4.4 suggests that the main drivers for adopting self- and peer-assessment in the Ancient and Modern University sectors responding appear to be academics' belief that it would encourage student reflection, and improve student learning of the topic. A lower range of scores were allocated here from respondents in the Civic University sector to these two drivers. However, two other drivers appear more prevalent in this category of institution than in the other two: firstly, the belief that these forms of assessment would result in less work for academics, and secondly, the perceived pressure from peers to be more innovative in assessment methods.

4.1.7 Interim Observations

The empirical evidence gathered from the present study suggests there is sufficient weight of evidence across all three university categories to support the view that a modest level of activity in the use of self- and peer-assessment has been adopted within the Accountancy and Management subject cognate areas within the Scottish university sector. The reported prevalence of both techniques is most notable at undergraduate Level 3 and Masters Level, with the least reported use being recorded at Professional Level. The areas to which both techniques have been most applied

are in assessment of group work, projects and oral presentations. The area with the least reported use of either technique is in numerical analysis.

The data further suggests that self- and peer-assessment have a number of apparent disadvantages, including being time consuming, a distraction from research, complex to administer and fraught with operational complexities. In spite of this, these survey results are encouraging in that over half the respondents had tried (and continue to use) either self or peer-assessment (or both) and rate the technique relatively highly. Almost none would use either technique to completely replace the academic as sole judge of student achievement.

Of those who have not used either technique, a significant proportion would be prepared to consider using both techniques but predominately for formative purposes.

On a Likert scale of 1 to 7 (1=poor) *self-assessment* was rated 4 and higher by 67% of the respondents (n=27), *Peer-assessment* was rated 4 or more by 76% by those who have used the technique (n=46). One respondent added three good tips when using self- and peer-assessment:

> when students are new to self- and peer-assessment, they need to be given a clear set of criteria to use. They also need to have barriers removed i.e. perceptions of there being a right or wrong way to report back. When group-work has resulted in a negative outcome, comments from members may be non-constructive and students need to know how to be constructive. (On-Line Q, #61)

Another respondent's comment may partly account for the variability between the responses in self-assessment and peer-assessment:

> I found it hard to get students to be rigorous with their grading of themselves .... But it does vary year by year depending on how serious the class becomes (peer effect). (On-line Q, #105)

The attraction of using students to peer-assess as a time saving device is clear, but many academics have difficulties on the issues of "safeguarding standards", ethics, lack of trust in management support (and collegiate support) in developing these

initiatives and lack of recognition for these kinds of innovations. Clearly if national and university policy makers, employers and students themselves wish to promote the skills and experiences which self- and peer-assessment can deliver, there is much to do.

4.1.8 Summary of Phase I Findings

Self- and peer-assessment occurrences are reported in both the accountancy and management cognate areas within Scottish higher education across all levels of study from 1st year undergraduate to professional level courses. The most frequently reported occurrences for both self- and peer-assessment are to be found at undergraduate Level 3 and Masters Level with the least reported occurrences being reported at Professional Level. Both techniques are used for providing student feedback and grading and scoring of student work. Of those who have tried either technique, very few report reluctance to using the techniques again. From the range of areas offered in which to apply self- and peer-assessment, more occurrences were reported in peer than in self-assessment. Group work, oral presentations and projects were the top three reported occurrences for both self- and peer-assessment with the least reported occurrences for both being in the area of numerical analysis. Both self- and peer-assessment techniques are being used more by management academics in both the ancient and modern universities and least by the accounting academics in the ancient and civic universities. However, only 39% would use *peer-assessment* for summative purposes - marking or grading. There are very few instances reported of *peer-assessment* being conducted on-line.

4.2 Phase II

4.2.1 Introduction

This section presents the results from the analysis of three sets of contrasting data: - firstly the organisational culture assessment questionnaire (OCAI); secondly the findings from focus group interviews with a cross section of university staff, comprising a representative from senior management (SM) and three focus groups and finally documentary analysis of each university's undergraduate prospectus.

Inevitably, the culture type(s) in a particular institution is highly contested, as is also how that culture(s) is conceived. Consequently, the approach adopted here was to classify universities by organisational type[59] and dominant organisational culture and within each institution provide an overall composite picture (the cultural profile) within each case study. The analysis provided insights into the extent to which and in what respects the views of the four groups of interviewees share a common conception of organisational culture and where differences lie. A total of four sets of interviews took place within each institution with representatives from different levels within the university. The three case studies reported here explore the organisational culture within each university as experienced and perceived by these interviewees and investigates the extent to which these aggregate experiences and perceptions appear to support or inhibit two subsets of the academic community's propensity to innovate in self- and peer-assessment practice. Both primary and secondary data were analysed using the model developed for analysing organisational culture and shown in Figure 4.5 below. This framework was presented and discussed earlier in the methodology section and is reproduced here as a backdrop to the case study analysis.

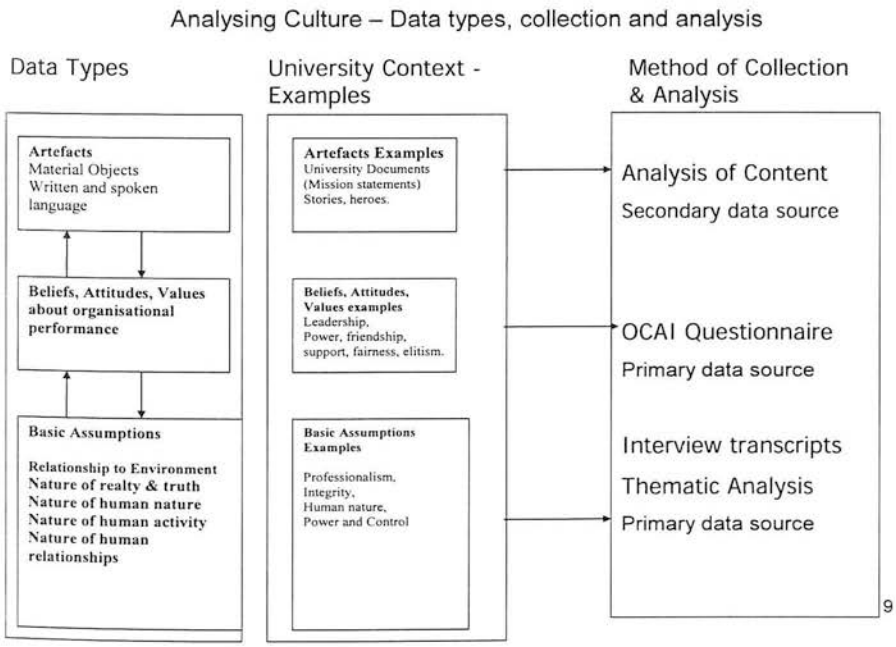


Figure 4.5: Framework for research design of case studies: Adapted from Dandridge, Mitroff and Joyce (1980), Schultz, (1995) and Jones, (1996) cited in Hatch, (2006) and Schein (1985)

[59] Type = As outlined in Chapter ONE: Ancient - meaning Universities founded pre 20th Century; Civic - meaning Universities founded 20th Century and pre 1992 ; or Modern - meaning Universities founded since 1992.

Based upon Schein's (1985:14) model, this analysis seeks to discover "subtle patterns" from the aggregate of the data, which collectively infer an organisational culture profile for each of three sampled Scottish universities (Alvesson, 2002:154). This is achieved by exploring three different types of data (artefacts, values and assumptions, (Figure 4.5) in an attempt to determine firstly, whether inferred idiosyncratic cultural patterns define a predominant organisational cultural type (Clan etc), cultural configuration (mix of culture types) and culture profile (the composite picture based on the aggregation of data from all three sources) for each university; secondly, to what extent a consistent culture configuration emerges across the different sources of data, and thirdly, the degree to which a dominant culture type is seen as independent of the various culture producing forces (government policy, university policy, employers and other external stakeholders); finally to analyse the extent to which this culture profile illuminates perceived issues facing academics when thinking about innovating in areas like self- and peer-assessment.

The artefacts investigated and analysed were publicly available documents which in themselves incorporate expressions of organisational culture values. These documents were: the university undergraduate prospectus, the mission statement, strategic plan[60], learning and teaching strategy and learning and teaching implementation plan for each institution. The quantitative tool used to gather the espoused values of interviewees was the OCAI questionnaire (Phase I, Table 3.2). The qualitative tool used to gather the perceptions, beliefs, attitudes and assumptions of interviewees was the focus group semi-structured interview (Phase II, Table 3.2). Before looking at the case studies it is necessary to be clear about the kinds of data presented from each of these three data sources and what this data is judged as indicating.

All three types of data (OCAI questionnaire, documentary artefacts and interview transcripts) were used to create an overall organisational culture profile for each institution. Responses to the OCAI allowed the creation of two levels of analysis, each represented by bar charts indicating firstly the overall organisational culture

[60] The following documents (L&T Strategy and implementation plan) are generally incorporated into specific policy documents/statements

configuration and predominant culture type(s) (Clan etc) and secondly, a detailed analysis of the four categories of respondents who collectively make up this composite culture configuration. The OCAI revealed that different universities had different mix of types (Clan etc) which make up their own unique configuration. There may be a predominant culture type, or a dominant mix of two/three culture types or No Dominant culture type. This configuration of culture types combined with the focus group interviews and the analysis of the documentary artefacts traces out the overall organisational culture profile for each institution. With the exception of the university prospectus, all interview questions on the documentary artefacts are included in the transcript analysis. A separate section of this Findings Chapter (Data from Documentary Artefacts) is devoted to the prospectus. The documentary artefacts provide evidence to support (or contradict) what the findings from the OCAI indicate. The focus group interview findings presented individual and collective insights into the various interpretations members decipher from the various material artefacts, verbal expressions and behaviour patterns within their institution, and again provide converging or diverging evidence to support findings from the other two sources.

Analysis of these three data types is predicated upon certain assumptions. Firstly, that the interview with the senior management representative of each university and the views expressed about their conception of their university organisational culture are broadly representative of the senior management group within that university. These views can therefore be contrasted with two representative groups of business academics (accountants and management lecturers) and a group of support staff within each university whose views are considered to be broadly representative of their constituencies. Consequently, this approach allows the researcher to look at apparent differences between the reported perspectives of individuals from the senior management community and compare these to the reported perspectives of individuals from the academic communities and the reported perspectives of individuals from the support staff communities. It is acknowledged that a limitation of this approach is that the views expressed are from a cross section of a small group of four units within each university and therefore it was not possible to develop generalisable conclusions about the facts collected. Secondly, that individuals

working in an institution, whether senior management, academics or administrative/support staff, will share a broadly similar conception of organisational culture within a university context. Thirdly, that there is a congruence between the reality of these universities and their organisational cultures and the theoretical model adopted in that each of the three Scottish university case studies will fall into one or more of these four culture types. Finally, that the insights revealed by the interview data and the analysis of documentary artefacts will on the whole support those from the questionnaire data from the organisational culture assessment instrument (OCAI). The aggregate of these three data sources shows a profile comprised of a mixture of cultures for each of the case studies but within those mixtures certain organisational culture types were more to the fore than others.

Each case study presented begins with a descriptive overview of the university and provides summary background information on the age, size, classification, mission, dominant espoused values and/or priorities. The next section presents the primary data results from the Organisational Culture Assessment Instrument (OCAI) and offers an organisational culture configuration of each institution showing the relative ratings of perceived culture types for each category of respondent. The third section reports on the primary data findings from the three case study interviews. These interviews analysed the basic assumptions members work under within the six key dimensions identified in the OCAI and the ways these assumptions affect their capacity and propensity to innovate in the area of self- and peer-assessment. Finally, data findings from the undergraduate prospectus are presented.

4.2.2 Case Study A

4.2.2.1 Overview

University A is an ancient university and positions itself as one of the world's top universities. With the number of undergraduate and postgraduate students in excess of 20,000 University A can be categorised as a large institution. Research has a strong external focus which is reflected in the mission statement. University A aspires to be within the top group of UK universities and be acknowledged as a major research-led university operating with a number of major international

partners. Within a UK context the institution is generally acknowledged as a major research powerhouse, whose annual research contract income is in the top ten UK universities. Teaching quality has been independently rated among the top in the UK. The Learning and Teaching Strategy is built upon five key principles which define the learning and teaching culture within the university. One of these principles asserts that teachers will be skilled and equipped to be excellent, and where this is identified to be the case, will be valued and rewarded. A second principle, enquiry-led learning, is based on the notion of student *interrogation* of the subject matter rather than learning *of* the subject matter. The Learning and Teaching strategy also includes a number of strategic objectives, one of which is to develop a wide range of assessment methods which promote student learning and prove efficient in terms of staff time. In order to underpin these objectives, a number of performance indicators (PIs) are identified within the document. None of these PIs relate to rewarding excellent teaching or assessment methods, which are designated as second level objectives and are positioned alongside areas such as staff support for embedding IT and Personal Development Planning (PDP). Four of the six management academics interviewed admitted to having seen and/or read the university strategic plan and could articulate some of the aspirational objectives from it. All three accounting academics interviewed had inspected the mission statement and the learning and teaching implementation plan. A number of support staff acknowledged they had viewed the strategic plan but not the learning and teaching strategy, commenting that it was more likely to be considered by the academic communities. The overall picture emerging from University A suggests there is no dominant organisational culture type present. Hierarchical, Market and Clan culture types are equally prevalent within this institution, as the following evidence indicates. Adhocracy was perceived as the least dominant culture type.

4.2.2.2 Data results and analysis from the OCAI Questionnaire

A questionnaire was made available (adapted from the Organisational Culture Assessment Instrument (OCAI) developed by Cameron and Quinn, 1999:20-22) to all interviewees who took part in the interviews. Fourteen usable[61] questionnaires were processed from University A and are summarised in Table 4.12 below. The

[61] Usable means were completed correctly

questionnaires from two support staff, one accounting academic and one member of the management academic group (RM) were incomplete and therefore not included in the analysis.

Table 4.12: Staff Members from each grouping who took part in case study interviews (N=18)

	Senior Management Representative	Management Academics	Accountancy Academics	Support Staff
Position	1 RSM[62]	1 Prof 3 SL 1 SUT [63] 1 UT [64] 1 RM [65]	1 SL [66] 1 L [67] 1 L	3 PA [68] 1 Q [69] 1 PO [70] 1 PC [71] 1 R [72]

A number of value dimensions were explored during the research interviews, including academic (research, teaching and learning), innovation (propensity) and ethical values. The dominant academic values established by University A's senior management group and articulated by the representative interviewed, are research based, supplemented by a strong moral responsibility to be an essential part of Scotland's social, cultural and economic life. Atomic elements of values such as whether academics tend to be secretive about their research in progress for fear of being "pipped at the post" by competitors, were not explored during the interviews.

[62] RSM is a representative of the University Senior Management
[63] SUT is a Senior University Teacher (a Senior Lecturer with no research responsibilities)
[64] UT is a University Teacher (a Lecturer with no research responsibilities)
[65] RM is a Resource Manager
[66] SL is a Senior Lecturer
[67] L is a Lecturer
[68] PA is a Programme Administrator
[69] Q is a Quality Officer
[70] PO is a Projects Officer
[71] PC is a Programme Co-ordinator
[72] R is a Receptionist

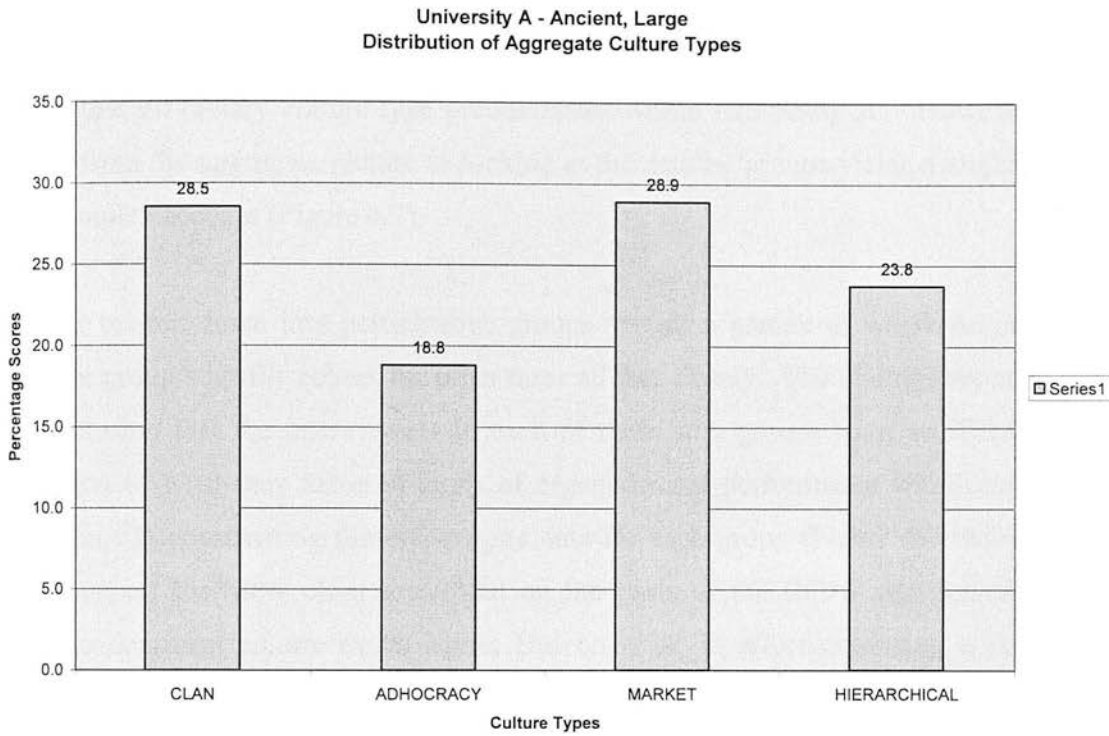


Figure 4.6: University A - Mixed Culture Configuration – Clan and Market types predominant (N=14)

Figure 4.6 above presents an outline graphical description of the distribution of aggregate culture types within University A. The column scores from Figure 4.6 indicate the strength (height of each column) of the four culture types and represent the aggregate relative ratings of all respondents to the OCAI questionnaire resulting in a culture configuration of the four cultural types shown above. The overall aggregate tally for all interviewees (Figure 4.6) results in the following organisational culture types: Clan (score of 28.5%); Market (score of 28.9%); Hierarchical (score of 23.8%), and Adhocracy (score of 18.8%).

Being able to identify a university's culture type orientation is useful for the reason that organisational success is partly determined by a close match between the organisational culture and the environment it works within. Thus if a university with a strong clan culture orientation and a weak market culture orientation are attempting to operate within a highly competitive and aggressive market, survival may prove difficult (Alvesson, 2002). Figure 4.6 above shows that all four organisational culture types were represented with no one culture type achieving less than 18% and

none having a tally greater than 29%. What emerges is a mixture of cultures, with Clan and Market predominating. The scores indicated on the aggregate picture suggest that no unitary culture type predominates within University A.. However, moving from the aggregate picture to looking at the data by groups yields a slightly more complex account (Figure 4.7).

The data broken down into participative groups reveals a picture in which no one particular group's profile echoes the other three all that closely. The findings support the conclusion that the interviewees in each of these four groups have a different conception of what they value in terms of organisational performance within their institution. Deconstructing these aggregate data for each group (Figure 4.7 below) would support the view observation that on the basis of the OCAI questionnaire alone, no dominant culture exists within University A, in effect producing a fifth culture category "No Dominant" culture.

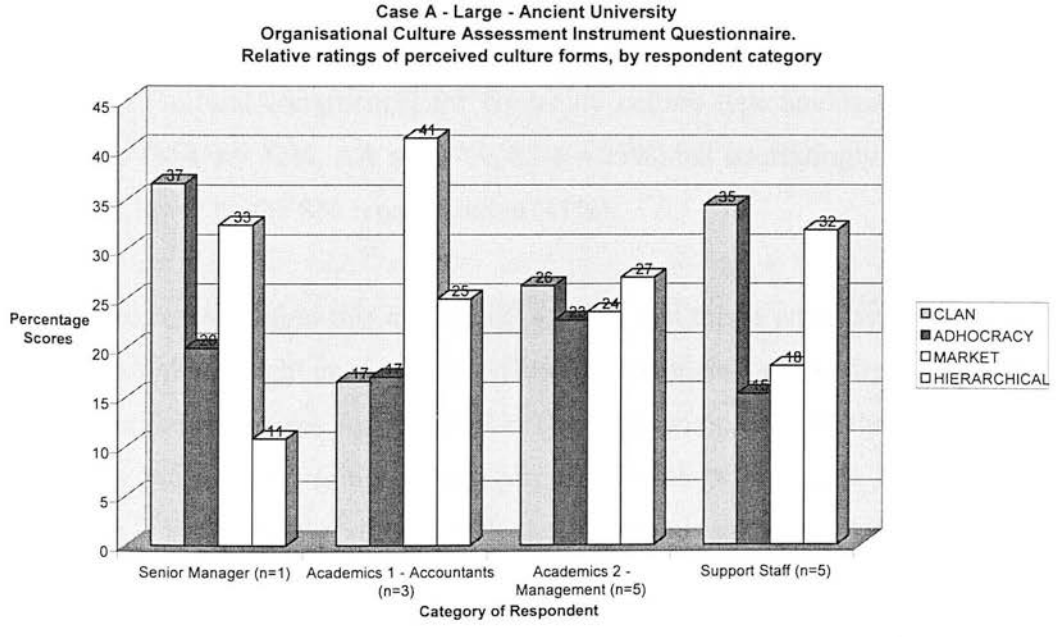


Figure 4.7: Perceived cultural type per respondent group (N=14)

A Market culture scores highest with the accounting academics (41%), a perspective shared quite closely by the representative of senior management (33%) and to a lesser extent by the management academics (24%) and least of all by the support staff (18%). Some of these scores may have reflected feelings about current operating conditions resulting from the pressure of increasing competition combined

with increasing pressure on funding, requiring all categories of university to be market focused to a greater degree. The overall picture emerging from these results aligns closely with the documented aims from the university strategic plan which places the university in the international market for research, knowledge transfer and learning. The collective scores from the management academics suggests there is no discernable dominant culture type and that a balanced configuration of organisational cultures is conceived by this group, in marked contrast to their colleagues in the accountancy and support groups.

Scores from the OCAI questionnaire also suggest that the picture materialising from the member of senior management points to a strong Clan culture, (score of 37%). This individual's perception was echoed by support staff data (score of 35%) but less by the academic group data (accountants, score of 17%; management, score of 26%). Within the overall aggregate scores (Figure 4.6) the Market organisational culture type predominates alongside that of the Clan type. This picture is mirrored by both groups of academics but less so by the eight support staff. There were discernable high scores (cultural congruence) for Hierarchy culture type amongst three of the four groups (MA's = 32%, AA's =2 7%, SS's = 25%) but interestingly this type was rated much lower by the SM representative (11%).

Thus to what extent might this data reflect the fact that this is an ancient university? To some extent we might expect Clan to feature in an ancient university but this does not account for the scores for the Market type appearing to be in the ascendancy. These data build up an initial impression that members recognise those content dimensions[73] most closely aligned with the organisational values reflected in the Clan/Market organisational culture type. This impression is supported firstly by the aggregate responses (Figure 4.6 above) to the OCAI culture questionnaire (how things currently are) and secondly by the range of verifiable propositions which support this impression and are explored below.

[73] Content dimensions – one of the two key dimensions reflecting fundamental values and assumptions about the way the organisation currently functions. Six content dimensions have proved themselves as reliable predictor of an organisation's culture and formed the basis of the OCAI questionnaire (see Cameron & Quinn, 1999, p136-137)

4.2.2.3 Data findings from the Focus Group Interviews

4.2.2.3.1 Dominant Characteristics

Across the range of interviews conducted, there emerged a strong sense of belonging, loyalty, pride and legacy towards University A. The member of senior management described the university as one with a tremendous history and international reputation which had to be protected by the continued hard work of the members: "I imagine most members of this faculty will be working 50 to 60 hours a week." (A/M/O/F/Ln 331-332)[74]. This opinion was supported by one accounting academic who reported an appreciable increase in the volume of work in teaching, research and administration:

> "...even if the university would know that we are working 14 hours a day, they wouldn't care about the research. They would say you need to double it." (A/A/A/M2/Ln 969-971)

Another management academic pointed out that this increased volume of work radiated from a number of sources and pointed out that the role of the academic had enlarged significantly over the last decade, commenting:

> "...as a member of the academic community you need to know about research, you need to know about research skills, you need to know about research ethics, you need to know about research mentoring, research training, research supervision, course administration and course management, staff management, commercialisation of what you do from a research enterprise point of view, teaching assessment, QA and quality enhancement, associated with teaching, disclosure Scotland...,(A/A/M/F1/Ln 938-945)

This comment is broadly supportive of the member of senior management's view of academic workloads within University A, who acknowledged that long hours are worked in order to respond to internal and external stimuli including keeping abreast of new aspects of academic life such as business development. Alternatively it may be taken as an appeal for help by one academic whose individual workload was becoming unsustainable. A highly regarded reputation together with a strong sense of community were considered strengths of the university, as the following quotes illustrate:

[74] Code for interviewees: **A**=Ancient University (C= Civic, M= Modern); **M**=Member of Senior Management (A=Academic, S=Support staff); **O**=other (A=Accounting Academic, **B**=Management academic); **F**=Female, M=Male); **Ln**=transcript line number.

> "We've got a tremendous history behind it, and in that sense our reputation in the world is very high" (A/M/O/F/Ln 275-276);
>
> "Reputation and it's got a community, definitely does have a community about it" (A/S/O/F1/ Ln518);
>
> "I think the academic staff and the traditions of the University go together. I mean there is a certain pride in representing the University with the town, I mean, it's... I just like it, you know, and I do think we're unique, I mean, there's I think, a genuine buy-in" (A/A/M/M1/ Ln809-812)

The member of senior management claimed the institution was dependable, providing students with a very solid education, and in terms of organisational culture, having the character traits and personality of a Border Collie - friendly and nimble on its feet, but after reflecting upon the many environments which universities now operate within, noted:

> "We could react faster to changes in the external environment. I think a big organisation takes a lot of turning around" (A/M/O/F/Ln 85-86).

The culture of University A was defined in different ways for example *stable and intense* as illustrated by one accounting interviewee, "There are some things you just can't change. Economics have had their first year lectures at 2 o'clock since 1912 and they're no way moveable" (A/A/A/M3/Ln 473-474); or as *coherent and distinctive* by a management academic interviewee when citing PDP commented:

> "I think University A's interpretation of the instruction is that they've [students] got to be given the opportunity of access to personal development planning, but I don't think we're talking about anything that would be compulsory..." (A/A/M/M1/Ln 134).

This view of "the way we do things at University A" was acknowledged by the member of senior management when citing pedagogical developments in e-learning and the use of VLEs by staff, it was pointed out:

> "I think face to face learning is the predominant mode here. We do some distance learning but not a lot. ....I don't see it really being the university A's way." (A/M/O/F/Ln 742-747).

This view was echoed by another accounting interviewee who noted:

> "It's said during meetings with teaching and learning service, 'I believe in lectures. I'm a dinosaur. I know I'm a dinosaur but I'm right.'... 'teaching is didactic. It's standing in front of people and telling them what they need to know, and that's what's important'". (A/A/A/M1/Ln 502-505)

These comments represent a collection of evidential views about some interviewees' perceptions of customs and practices and basic assumptions of life within University A. Broad inferences drawn from this limited spread of evidence suggest University A to be an institution aware of external influences but sensitively selective in how it responds to these. The data from the interviews appears to suggest that individual members in some departments show evidence of a degree of personal autonomy. These staff can defend existing practices from complying with central university (and government) policy directives which may be aimed at encouraging innovative behaviour in pedagogical development as illustrated by one accounting academic's reference to Personal Development Plans for students: "there is a university policy that we should be implementing them ... but we're not doing it." (A/A/A/M3/Ln 109-111) or by another management academic:

> "...that the problem with a lot of these issues [policy directed to committees for implementation] is how you [the department] react to these committees...." (A/A/M/M4/Ln 238-240)

In spite of the two academic groups and the representative of senior management sharing a common perspective on these issues, this perceived autonomy could account for contrasting culture configurations between the two academic focus groups and ultimately result in the development of subcultures. The presence of these subcultures may in themselves constrain or inhibit academics' endeavours in pedagogical innovation such as self- and peer-assessment, as explained by one accounting interviewee: "it [the department] suppresses difference and it suppresses therefore innovation I think. That's my gut feeling" (A/A/A/M3/Ln 1004-1005).

Thus in summary University A is perceived by those staff who were interviewed to have a prestigious history, predicated upon the hard-won efforts of its staff to respond (in some cases slowly) to ever increasing demands from multiple stakeholders.

4.2.2.3.2 Organisational Leadership

The general approach to leadership was reported by one management academic to be facilitative, supportive and results-oriented as illustrated by the university's application to gain accreditation from the Association to Advance Collegiate Schools of Business:

> "For us, AACSB, I think we had the support of the relevant representative of senior managements, we had the support of the team, and it's a support that engages, that they're there with you, they're not sitting in the background just eating the buns" (A/A/M/M1/Ln 1311-1313).

In terms of leadership style, University A was perceived in the interview by one member of support staff to be resolute:

> "The Principal just continually sent emails telling staff, I mean I think it was quite controversial. Obviously academic staff who were strictly on strike, not marking and he basically stuck to his rule book which was, if you don't mark, you don't get paid, you're on strike" (A/S/O/F/Ln1080-1083)[75]

and also perceived by another to be risk averse: "... because of the procedures and committees and guidelines to have to go through before anything can be changed." (A/S/O/F/Ln247-249). Overall, university leadership was perceived by some of the members interviewed as firm, facilitative and with an aversion to risk.

4.2.2.3.3 Management of Employees

When trying to determine to what extent multiple layers of management influenced flexible and responsive decision making the member of senior management indicated that university restructuring had recently taken place, resulting in a scaling down of committee levels and "there is a far more direct link from the Dean to the top [Principal] than there used to be" (A/A/M/M1/Ln 621-622) and that this had been

[75] Where the voices of the participants proved difficult to separate (as in a group of seven) no numbers were attached.

done only after substantial consultation with staff. It was pointed out by this representative of senior management that although the quality assurance requirements were ever present, university A was trying to focus more on the outcomes of the paperwork rather than the paperwork itself in order to "...make sure that we actually implement what the students want and what the students are saying to us are problems" (A/M/O/F/Ln 115-116). Thus it would appear management do engage in a degree of employee consultation, certainly on big issues, and are outcome rather than process focused.

4.2.2.3.4 Organisational Glue

Almost all eighteen staff interviewed considered employee commitment to be high and the reputation and brand of the university to be distinctive strengths as illustrated by one senior management academic's comment: "If we're not special then... ...forget it. And that's all staff, that's from the janitorial staff ...right through the lot" (A/A/M/M1/Ln 1004-1005). However there were some conflicting views expressed over the notion of a sense of family or community ethos. When asked to describe the university in terms of an animal, one academic compared it to "a grizzly bear" (A/A/M/M5/Ln 555) while another accounting academic commented: "as a department, as a team – I think as a team we work well together. We socialise to a certain extent...We go to carol singing together" (A/A/A/F1/M2 /Ln 1015-1019). For the support staff, it would appear from the experiences recounted that little social engagement took place outwith work although there were some efforts by them to meet over coffee to discuss aspects of business. Although rules, policies, procedure and systems ensure the smooth processing of the university's information system, it would appear that it is the dedicated efforts of staff, predicated upon a collective need to protect the highly regarded reputation of the university, which forms the glue binding the university.

4.2.2.3.5 Strategic Emphasis

The senior management member interviewed was the head of the Faculty whose responsibilities included the accountancy and management subject cognate areas. The university's strategic plan was seen by this person to be central to the activities of human endeavour within University A:-

> "There's nothing in that strategic plan that we wouldn't want to be doing in the Faculty. There's nothing that we would want to do that doesn't fit in with that. " (A/M/O/F/Ln 213-215)[76]

The plan itself explicitly mentions research in three of its six objectives. The member of senior management pointed out "We are a research led institution. You wouldn't choose to work here if you were solely interested in teaching" (A/M/O/F/Ln 305-306). S/he was keen to stress that people who wish to work at University A "have got something to say, and they've got something... they've got ideas to pursue"(A/M/O/F/Ln 308-309). In addition to research the member of senior management pointed out that retention rates for students were a top priority and commented: "We see ourselves as wanting to retain more students than we currently do. Retention rates vary across this faculty." (A/M/O/F/Ln 48-49). Other key aspirations s/he pointed out would be:

> "to develop key strategic international links...with University X in the States and University Y in China. That's something else that the Faculty is doing. We have a number of discussions ongoing in Japan at the moment and in Pakistan too. We're trying to make those kinds of links" (A/M/O/F/Ln 58-64).

When asked for a view on how the university responded to external influences such as Personal Development Planning[77] the representative of senior management reported that there had been an extensive consultation and debate about PDP, but in the end no common view prevailed as to how this should have been implemented and it had been left to each faculty to devise their own system. One academic summed up his understanding of the institution's position:

> "I think university A's interpretation of the instruction is that... as long as there is a [PDP] system there that they can engage with if they so wish to engage. We will not prescribe." (A/A/M/M1/Ln 134-138).

The focus group of accounting academics confirmed that while some faculties had attempted to implement PDP, they had not. Attracting the "best quality students

[76] Code for interviewees: **A**=ancient university (M= Mid, N= New); **M**=Member of senior management (A=Academic, S=Support staff); **O**=other (A=accounting academic, **B**=management academic); **F**=female, M=male); **Ln**=transcript line number. (Included here for convenience)
[77] PDP - a Government Policy initiative for implementation by all universities by September 2005

from wherever they come from" (A/M/O/F/Ln 46-47), improving retention rates, developing key strategic international links and research are seen as the key strategic aims of University A.

4.2.2.3.6 Success Criteria

The member of senior management cited the case of the annual graduation ceremony as an opportunity to recognise, celebrate and reward excellence in learning and teaching, attracting a significant cash award for the recipient. S/he also pointed out that of recent times teaching was now considered a recognised route for promotion to Professor within this institution. When pressed, however, the member of senior management could point to only one member of staff who had been promoted to Professor via this route, and that the individual concerned held a post with formal responsibility for teaching quality enhancement. When the group of six management academics were asked to provide an example of someone who had been promoted from the learning and teaching route, not one of them could. Across the range of the other three groups interviewed (AA, MA, SS) opinion about research as a criterion for promotion was quite decisive and unequivocal, and as one management academic stated, in his view to achieve promotion: "I would say research activity... I think – I don't think, I know – and if we're being honest, research, research, research" (A/A/M/M1/Ln 1281-1285). When the same question was raised, all nine support staff and all three accounting academic interviewees were in accord that research was perceived by them to be the prime criterion for promotion. Thus, research still appears to be the currency which drives significant faculty effort, and thus may have an impact on innovative assessment practice. However, one management academic made an incisive comment on the relationship between incentives and research:

> "...there are some incentives in higher education that do cultivate highly individualistic self-interested behaviour, and where a person is like that by nature and in an institution where that happens... you always select-out of collective activity because you know they won't participate because they will be away doing their research or they will be prioritising that, sometimes rightly and sometimes to the detriment of the department. So it's not all happy glow and team hugs." (A/A/M/F1/Ln 1174-1181).

However, a support staff member pointed to one management academic member of staff who had been promoted to senior lecturer based upon her outstanding

contribution towards the administrative role of academe. From the views expressed in these data it appears realistic to form an impression of a university culture where excellent performance in research was valued most highly for promotion and career advancement in spite of mechanisms in situ and working specifically to encourage and reward innovative and high quality teaching and assessment practice.

4.2.2.3.7 Innovations in Self- and Peer-Assessment

The composite picture emerging from the various interviews conducted suggests wariness by academic staff to the notion of engaging with innovations such as self- and peer-assessment. Even though the member of senior management conceded that university rules do not prohibit students from peer marking, one management academic's view qualified this point noting:

> "...the University regulations don't stipulate you must do it [introduce self- and peer-assessment] this way. The regulations are open enough for you to come forward with ideas. If they do not like them, for specific reasons, then they may be rejected." (A/A/M/M1/Ln 398-400); (I5, EC, Excessive control; Table 3.5)

The same representative pointed out that any initiative like the introduction of self- and peer-assessment would have to be supervised by an experienced person. This view of mentoring staff inexperienced in new assessment techniques and in attending to the procedures and systems necessary for implementing such techniques was echoed by the following accounting interviewees' comments:

> "Yes, but you have to fight the politics and you have to fill in forms" (A/A/A/M3/Ln 1231); "And you have to fight the culture to some extent" (A/A/A/F1/Ln 1232). (I5, EC)

Across the range of academics interviewed there was the observable impression formed of a cautionary distrust towards innovating in areas like self- and peer-assessment arguing that the substantial effort and time required to set these things up, the inherent complexities involved in developing the arrangements, coupled with the current cohorts of students in some classes exceeding 300 or 400, the effort involved, "would have killed the team doing that" (A/A/M/M1/Ln 1344). One management academic expressed his distrust for peer-assessment arguing that in his experience

"personalities sometimes get in the way of objectivity in marking" (A/A/M/M5/Ln 495-496). Another accounting interviewee believed that the level of micro politics exercised through committees is seen as a deterrent to innovation in areas like self- and peer-assessment and that in order to succeed you have to embrace that political agenda, as any change of this nature had to:

> "...go through your head of department and it has to go through the undergraduate studies committee, and the departmental committee and then it has to go to faculty, and then it has to go to senate. And you could face opposition at any one of those levels." (A/A/A/F1/Ln 645-648)

One member of the support staff echoed this view as to the reason why risk is perceived cautiously by academics "...they [academics] wouldn't take risks because of the procedures and committees and guidelines you have to go through before anything can be changed...." (A/S/O/F1/Ln 247-249). (I1, HS)

These data suggest that within University A there are a number of layers of systems and procedures to deal with when implementing pedagogical innovation such as self- and peer-assessment, and these could be perceived as an obstacle by some academics who showed some propensity to innovate in this pedagogical area.

The factors which would stimulate academics to experiment in self- and peer-assessment, were, the member of senior management suggested, "Student demand" (A/M/O/F/Ln 525) and "...financial rewards" for being innovative (A/M/O/F/Ln 526) – (S3, R). Those factors which would inhibit or moderate academic experimentation in self -and peer-assessment, s/he suggested were:

> "I think we haven't got sufficiently well developed support for IT innovation, both in terms of training of people like old people like me, who've been in the job for years and years". (A/M/O/F/Ln 564). (I4, RC)

One management academic noted that there had been a perceptible drift back towards end-testing as a consequence of plagiarism and other things, which in turn would moderate innovations in learning, teaching and assessments (A/A/M/M4/Ln 427).

The overall impression that emerges from these data suggests that to seek to innovate means to take risks, and in turn face a number of procedural hurdles from colleagues or committees or both, which some academics may find excessive for the perceived benefits.

The evidence suggests that at both an institutional level and departmental level, innovation in areas such as self- and peer-assessment is treated in a cautious way by some of the academics interviewed. Success is sometimes predicated upon knowing the departmental political culture and the institutional systems to address.

4.2.2.3.8 Data from Documentary Analysis

In framing this section of the analysis the researcher acknowledges the Foucaultian view which recognises there is always more than one discourse competing for dominance on most subjects. Goffman (1959) clarifies this point by deconstructing - the animator (the agent who utters the talk); the author (the one who originates and selects the sentiments that are expressed and drafts the wording); and the principal (the one who is committed to what the words say). Social practices are often tied up with causes and effects which may not always be readily apparent (Bourdieu, 1977). Each discursive event is the conflation of a spoken or written language (text) and an instance of discourse practice (production and interpretation of text) and finally a piece of social practice. The connection between text (1) and social practice (3) is seen as mediated by text production and interpretation. The processes of text production are shaped by (and themselves help shape) the nature of social practice; the production process shapes and leaves traces in the text; the interpretation process operates upon cues in the text (Fairclough, 1993). It is within this context that meaning was derived from the documents gathered and analysed.

The mission statement, strategic plan, and learning and teaching plan were acquired from the university web sites. The undergraduate prospectus was acquired from the main university campus. All three accounting academics expressed varying degrees of knowledge of the mission statement and strategic plan. Several of the seven support staff were aware of the strategic plan but not of the details therein. Most of the management academics were aware of the learning and teaching strategy with

one member reporting he had been involved as an author although to date, he hadn't seen anything implemented.

> I've seen how it's [the learning and teaching implementation plan] been designed and took part in the design. I can't say I've necessarily implemented anything from it as yet. (A/A/M/M1/Ln 49-50).

In summary, the impression formed from the data presented by the respondents was that all of the documents were reportedly known of by both academics groups and the representative of senior management with the support staff knowing fewer of these. However the specific details within each document were less known about by all three focus groups.

4.2.2.3.9 Visual Meaning and Analysis of undergraduate prospectus

In undertaking an analysis of a University prospectus it is acknowledged at the outset that this document represents interdiscursively complex expressions of a variety of genres (e.g. promotional and informational) and discourses.

The undergraduate prospectus for Institution "A" outlined the university's programmes, services and activities and had the central function of (telling role) advising prospective students on criteria for admission, programme content, modes of delivery and learning, teaching and assessment strategy. A secondary function of the prospectus was to inform (selling role) prospective students on aspects of student life (social, sport, accommodation, study abroad, the history and reputation of the university), academic life (the teaching and learning environment, library and other resources). In effect, the university prospectus sits somewhere on a "telling/selling" scale. The analysis of the prospectus focused on the identification of central university values, which were imbued in both the visual and textual discourse within the document, and considered the contribution of these in supporting the perceptible organisational culture profile for University A.

Images of the long-established history of the university were frequently repeated throughout the document and were regularly reinforced with the importance of its excellent reputation. Many of the images provided an impression of a contrived and

carefully managed photo shoot comparable to those undertaken for professional models. Staged (i.e. not in a teaching setting) group photos of students, showed the diverse range of ethnic groups within the student population. Visuals of the learning process contain only two thumbnail photos and one of these depicted a presentation by overhead projector.

4.2.2.3.10 Analysis of Verbal Meaning

In terms of identity construction (reflecting what the university stands for) the document was replete with phrases reaffirming the long established and respected reputation of the university. The principal's welcome emphasised this notion of "who the institution is" and what it stood for when stating that this reputation meant it attracted talented students. The phrase "We are" is used in 5 of the 10 statements in the section advocating why the student should choose University A. The section in the prospectus devoted to learning and teaching had two pages allocated to it and explains the philosophy, rationale and methods used at University A. In terms of what the student can expect, it stated that students would "be taught" and by leading researchers and staff who were recognised authorities in their field. Further the document stated that the approach to learning would develop the student's critical thinking and analytical skill and their sense of inquisitiveness. Technology would be judiciously applied to support and enhance learning where appropriate. The document pointed out that university A had an annual teaching excellence award for those staff whose teaching was judged to be of a particularly high standard. There are a number of interesting observations that can be made about the student quotes which are abundant throughout the prospectus. Firstly, they appeared on almost every fourth page of the near two hundred page document. Secondly, the quotes combined various font sizes to accentuate key messages. Although reputation, wonderful facilities and famous alumni appeared on more than one occasion, there were few mentions of the high calibre academic/teaching staff. Indeed, within the many student tributes, mentions of research or teaching reputation were mentioned eight times[78], the campus three times, staff reputation three times, approachable/supportive staff five times. The focus appeared to be on institution

[78] Where the reputation of the department was made this was included under research/teaching category

history and buildings (four times), reputation (fifteen times), facilities (nine times) and what it *does,* rather than recollections of student experiences. Although much play was made of the reputation of University A in both transcripts and documentary artefacts, this reputation could be attributed to a number of factors including tradition, history, buildings and facilities, staff including research and teaching, the acclaimed high quality of staff teaching did not figure prominently in student/graduate testimonials within this document.

4.2.2.4 Summary Observations University A

The results from analysing the interviews, questionnaire and documentary data come together to support the emerging view that University A presents itself as one where no unitary culture emerged, no dominant culture appeared to prevail, and where a mix of Clan and Market culture types were to the fore. No two groups of interviewees perceived the same cultural orientation, as no similar patterns emerge between any of the groups: senior management as predominately a mix of Clan/Market cultures, by the academic groups as a mix of predominately Market/Hierarchy cultures and by support staff as predominately Clan and Hierarchy cultures. These conclusions are largely supported by the recounted perceptions and experiences of the four groups of interviewees. Organisations with a Market, Adhocracy or Balanced (no dominant culture) culture profile are associated with innovative implementations (Obenchain *et al.*, 2002).

A multicultural institution with a long tradition of custom, precedent and a respected reputation to maintain, whose staff benefit individually and collectively from a high standard of social capital articulated through a high degree of loyalty and pride in their place of work was the conclusion reached about University A. Highly structured in terms of committees yet with a degree of autonomy in some aspects of its work (research and increasingly attitude towards risk) perceptions and experiences of self- and peer-assessment appeared modest from the sample studied.

Although innovation in self- and peer-assessment were not discouraged in University A and there appeared to be some scope for pedagogical innovation in self- and peer-assessment, it was noted that time, effort, volume of student numbers, teaching

conceptions of faculty members and risk were all reasons cited for moderating the uptake of these techniques.

There was some evidence from the accounting academics and support staff to suggest that the small number of reported experiences of some academics, in terms of lack of support from colleagues for this type of activity, and lack of recognition in terms of promotion and reward may deter some staff from innovating in this type of practice. Other perceived hurdles reported included excessive procedures and layers of committees, plagiarism issues and large class sizes when combined with the focused personal agendas of some academics, may act as restraining factor for innovative assessment practice. For example, one management academic noted that there had been a perceptible drift back towards end-testing as a consequence of plagiarism and other things, which in turn would moderate innovations in learning, teaching and assessments (A/A/M/M4/Ln 427).

The overall impression that emerged from these converging data was that autonomy for pedagogical innovation in areas like self- and peer-assessment existed at departmental level. There were existing mechanisms available in the form of promotion routes and achievement awards to encourage and reward such innovations. However, academics' propensity to innovate was not only influenced by these incentives but also by their perceptions about the balance of risk versus reward for undertaking such innovations. The perception of some academics was that to innovate equated to taking risks and in turn facing a number of procedural hurdles which constrained, moderated or ultimately dissuaded them completely from innovating in pedagogical areas like self- and peer-assessment.

4.2.3 Case Study C

4.2.3.1 Overview

Having a dual mission in terms of learning and teaching and research, University C is a 20th Century pre-1992 institution and sees itself as a research-led, student-centred, single site university. It claims to be located on one of the finest campuses in Europe which features prominently in their prospectus. The university is relatively small in

terms of student numbers and staff. It promotes itself as having an excellent reputation for research and teaching and as a caring community underpinned by an extensive range of support services to help students get the most out of their experience at university and had recently been ranked among the top Universities in an award for the UK's Best Student Experience. A particular focus of the institution is student-centred teaching and learning with flexible learning opportunities being cited as one of the distinctive features of the university. In terms of major strengths, one management academic commented: "the things going for us are our spread of programmes, our physical location, and the quality of teaching, which students like" (C/A/M/M2/Ln 675-676). The representative of senior management summed up a dominant characteristic of University C as: "there's a caring, sharing community, a family feeling, which I think is genuine" (C/M/O/M/Ln165-166.) In student surveys, reported strengths that appear repeatedly are the attractive campus, flexibility of programmes, community atmosphere and friendly feeling which had been passed on through word of mouth.

The espoused priorities as published in the university mission statement are research and scholarship followed by learning and teaching with internationalisation being seen as complementary imperatives. Senior management described the university as a friendly, sensitive institution with a focus on service to the local community and offering a number of distinctive programmes. Few of the six academics interviewed admitted to having a real sense of the contents of the strategic plan or the learning and teaching strategy. Two of the four members of support staff interviewed reported having some involvement with the development and/or implementation of the learning and teaching strategy.

4.2.3.2 Data results and analysis from the OCAI Questionnaire

A total of 11 members of staff took part in the interviews and submitted a usable OCAI questionnaire. An analysis of the representatives from each of the four constituent groups is shown in Table 4.13 below.

Table 4.13: University C – Staff Members from each grouping who took part in case study interviews (N=11)

	Senior Management Representative	Management Academics	Accountancy Academics	Support Staff
Position	1 RSM	1 Prof 1 SL 1 L 1 L	1 STF [79] 1 L [80]	1 DA [81] 1 FO-ARO [82] 1 SPO-ARO [83] 1 EDO [84]

Figure 4.8 below presents a graphical description of the distribution of aggregate culture types within university A. The chart shows that the aggregate of the relative ratings from the OCAI questionnaire for all four culture types are represented with no one culture type scoring less than 15% and none greater than 37%. It depicts the relative dominance of Hierarchy cultural values (36%), followed by, in order of decreasing prevalence, Market values (24.4%), Clan values (23.3%) and Adhocracy values (15.8%). Thus the overall aggregate culture configuration (Figure 2.3) for university C is mixed with the Hierarchy culture type predominant.

[79] STF is a Senior Teaching Fellow
[80] L is a Lecturer
[81] DA is a Departmental Administrator
[82] FO is a Faculty Officer – Academic Registrars Office
[83] SPO is a Student Programmes Officer - Academic Registrars Office
[84] EDO is an Education Development Officer

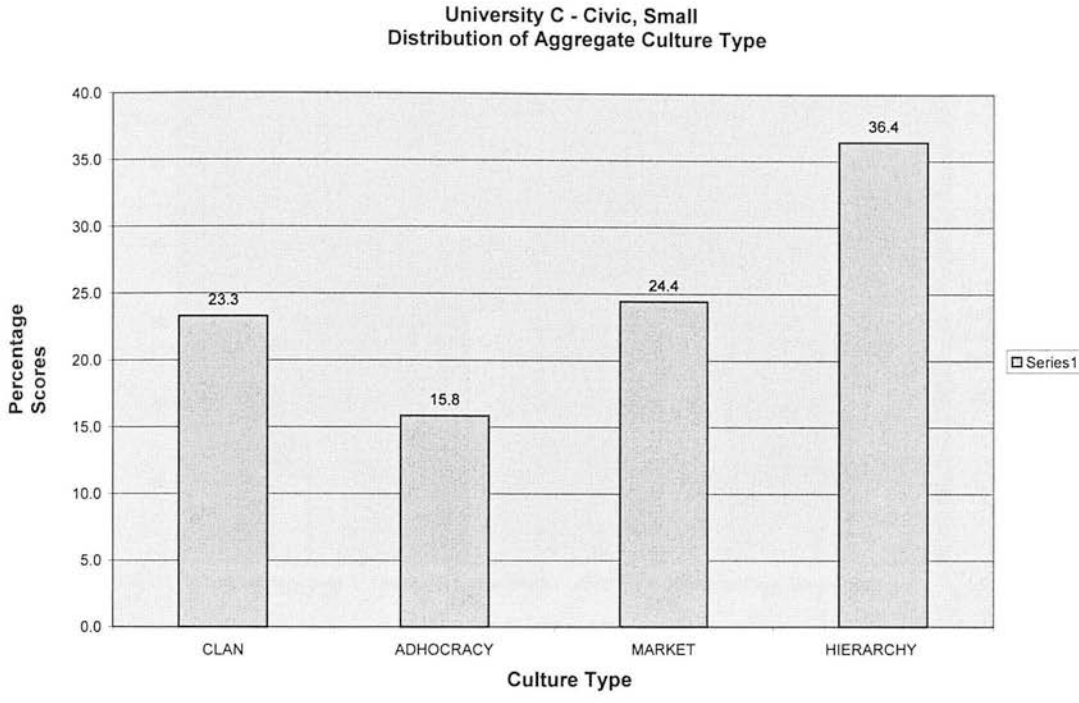


Figure 4.8: University C, Mixed Culture Configuration – Hierarchy type predominant (N= 11)

A more comprehensive analysis can be obtained by moving from the aggregate data to data by group in (Figure 4.9). This reveals a more complex picture where an impression forms of three of the four groups sharing the reported perception of a predominant Hierarchy culture type but supported by both a Market and Clan culture mix. However the representative of senior management presented a noticeably different culture configuration, and clearly judged Clan culture to be the dominant type.

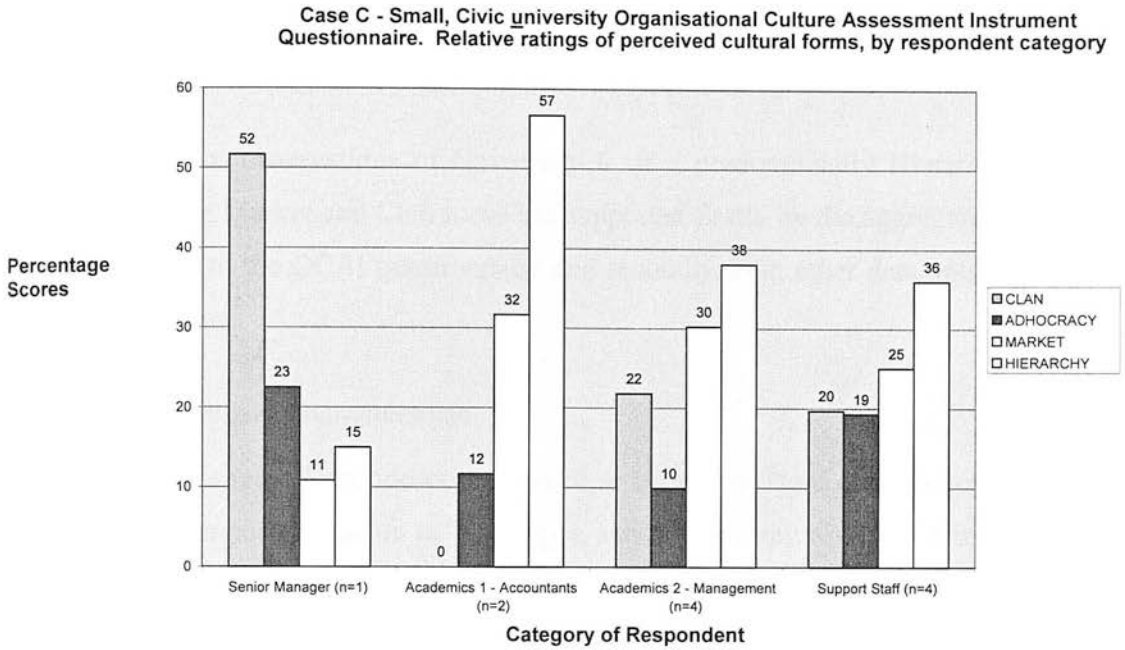


Figure 4.9: Perceived cultural type per respondent group (N=11)

Compelling cultural congruence is reflected in high scores for a Hierarchy culture type and was evident from both academic (AA 57%, MA 38%) and support groups (36%), providing converging evidence of a collective perception of this as the dominant culture type and most established in the scores of the accounting academics. Although the mix of Hierarchy and Market culture types is evident across all three focus groups, it does not rate significantly with the representative of senior management who positioned Clan as the dominant organisational culture type (52%). Therefore to what extent does this culture configuration picture reflect university C as a Civic university? Several of the documentary artefacts (mission statement and prospectus) emphasise the strengths of University C as a "caring community" with a friendly, sensitive approach to students, degree programmes to suit students' strengths, all of which can be acknowledged as aspirational characteristics for this category of university. Being a small institution, one may reasonably expect that strength of this type of institution may be their ability to be flexible and responsive to changing market conditions for example in designing and delivering new courses. If this assumption is judged reasonable for this category of institution, it is interesting to note from Figure 4.9 that the common conception as reflected in three groups of respondents' scores is of University C as having a

Hierarchy culture type, a cultural type often considered at odds with notions of flexibility and rapid change.

These interim observations of University C as a predominantly Hierarchy culture with a strong Market and Clan focus are supported firstly by the aggregate responses (Figure 4.8) to the OCAI questionnaire and secondly from other data pointing in the same direction.

4.2.3.2.1 Dominant Characteristics

Across the range of interviews conducted, a collective view emerged of structural size as an important factor in building a sense of community and family feeling where people know and respect each other, as illustrated by the following management academic: "I think I'd probably describe it as small, it's liberal arts, as having a kind of... kind of quite strong values of egalitarianism" (C/A/M/F1/Ln 484-486).

Therefore being in a small-to-medium sized campus-based University with distinctive areas of expertise and the sense of a "personal touch" are seen as dominant characteristics and distinctive strengths of this category of university in delivering the type of learning experience at University C as illustrated by the representative of senior management:

> "So there's two things there in terms of having time for students, personally, there is, there's the genuine community feeling which is engendered from staff through students and from students to students..." (C/M/O/M/Ln 189-191)

Excessive layers of management had been perceived by the representative of senior management as an unacceptable obstacle to achieving the desired level of flexibility and responsiveness to the new external environment. Thus the introduction of a flatter management structure in order to be more responsive to external stimuli was a recent development within University C to addressing this obstacle as noted by the representative of senior management:

> "...we stripped out a layer of management with the view to being more responsive, being able to respond to the outside world quicker because the chains of command are shorter". (C/M/O/M/Ln 113-115)

The removal of a layer of management may have been embarked on with a view to achieving this aspiration, but this change had produced mixed reactions from the members interviewed.

The representative of senior management suggested that a number of organisational cultures existed and he believed a number of these were competing for dominance, but if pushed to define University C's culture commented:

> "...it [the culture] would still come back to the notion of the close knit, community family, research led, University that, that cares for its students experience". (C/M/O/M/Ln 392-393); and, as the representative of senior management was keen to stress: "We are not a control culture (laughs)." (C/M/O/M/Ln 582);

This picture of several dominant cultures operating in mutual co-existence (Figure 4.9) was supported by one management academic who noted:

> "Yeah, there's two cultures running here, there's administrative, which is the bean counters, or the carrot heads, and there's the academic culture. And that always... to me the university central thing is we want you to work harder and bring in more revenue." (C/A/M/M1/Ln 482); another management academic noted: "I don't think it's an empowering culture at all" (C/A/M/F1/Ln 482);

Although not contradicting this perspective, one management academic pointed out that flexibility of choice of degree, a friendly atmosphere and a superb environment are cited as three of the top ten reasons for students choosing University C as their seat of learning, a perspective supported from the prospectus documentation available to students. In summary, on this issue of identity and role, the aggregate picture emerging from University C would suggest a student-friendly, responsive university offering a flexible range of courses supported by a highly committed group of staff. The representative of senior management summed up the dominant characteristics of University C noting:

> "I am not saying, if you use an analogy, small is beautiful because its not, but ...certainly you're not turning around a tanker here in midstream, which in a cultural sense I think we can respond to the external environment an awful lot more quicker than, than some of the traditional ones" [universities] (C/M/O/M/Ln300-305).

4.2.3.2.2 Organisational Leadership

There was a strong and distinctive feeling of a "them" and "us" attitude towards the university leadership within both of the academic focus groups. In spite of an attempt by senior management to reduce the number of layers of management, this was perceived by several participants as the removal of an instrument of democracy as illustrated by the following quote:

> Why should we be polite? The abolishing of the faculty, to my mind, is basically, takes a layer of management out, of which there was no real justification for other than the university decided for its own purposes that this was a resource reduction exercise, you know, it must be. Why take the faculties away? Why take the management of the faculty away? (C/A/M/M1/Ln 97-101)

The role of the leadership was generally felt to be insensitive towards staff feelings in dealing with change, dictatorial rather than influential in motivating staff engagement during changing times, and lacking in communication skills as illustrated from the following quotes:

> ... when we had the dispute we also got letters from this creature, and I can't remember his name, who was meant to be the human resource manager or personnel manager who sent out everything as a threat, every single... there was not... there was no attempt to write it in such a way... (C/A/M/M1/Ln, 1592-1595)

And supported by a professorial colleague (management) who commented:

> Actually, I would go so... I don't think it was just the language, I think it was the action of the management at the end of the dispute, where I think that they were kind of, you know, I think they were baying for a fight, and I think certain people in the centre were just gagging for, you know, the dispute to go on longer so that there was actually take it out on the... it was almost, bring it on. (C/A/M/F1/Ln, 1602-1606)

Another colleague from a different focus group (accountants) offered an account of an [strategic – in the researcher's view] incident which tenders further weight on the leadership style of the university management:

> I suspect it's a bit of both or there might be a hidden agenda that we're now not aware of, we don't know what's going on. Now that to me is an example of how the University management have imposed their will on us. Does that sound, is that reasonable? (C/A/A/M1Ln, 1152-1155).

A strong sense of frustration and disappointment with the leaders and leadership style was in evidence within university C. A number of external forces from the environment and responding to these in a positive way appeared to sit uncomfortably with a significant number of the six academics interviewed.

4.2.3.2.3 Management of Employees

The current restructuring within the university was, the representative of senior management argued, an example of how the senior management were attempting to improve democracy, internal communication and speed of decision making within the university by removing the four faculties and instead having nineteen departments to communicate directly with senior management. A contrasting perspective of the motives for this restructuring was presented by one management academic who noted that they [the university]:

> "...had a strong culture, an academic one – and increasingly what we're witnessing, I think, is the encroachment of a managerialist culture, at least at the forefront. I don't think it necessarily affects sub cultures at different departments, but that is what we're seeing, the gradual encroachment of managerialist values and interests." (C/A/M/M2/Ln 602-606)

Three of the four of the management academics suggested that the rational for restructuring was less to do with freeing up academics' time for them to do more research (a perspective allegedly presented by university senior management) and more about a resource reduction exercise and "...drawing more power...back to the centre" (C/A/M/M2/Ln 123-128), a sentiment echoes by another management academic colleague:

> The argument that was made at the time that the restructuring was presented was partly to do with increasing and approving support for academics to free up more time to focus on research. And it's had the opposite effect because the expertise has disappeared, or at least it's been restructured somewhere else where we don't know where it is. (C/A/M/F1/Ln 130-134)

Prior to the restructuring, academics could consult administrative experts within the faculty on routine issues to do with admissions or the granting of student extensions. Following the restructuring, some academics reported a perceived increase in their administrative workload, as illustrated by one management academic:

> "Well, already their structures have disappeared, they haven't been replaced in any way... so we're having to deal with extensions to coursework deadlines, we don't know who to ask, who's going to write, that does become a bit of a problem. Whereas before, I don't know how it worked because I wasn't involved....",(C/A/M/F1/Ln 80-85).

A contrasting view from an accounting academic suggested that the restructuring had yielded some benefits, for example the movement from local Faculty committees to University committees meant cross-faculty good practice could be identified and adopted university-wide as for example in the case of students who obtain an exam mark below a certain grade not being automatically entitled to a resit and indicated: "...that's different and apparently that's what's been going on in other faculties the whole time." (C/A/A/F/Ln 67-69). Improved democracy as a consequence of restructuring the four faculties into nineteen departments was perceived by one support staff member as another benefit of restructuring but this comes at a cost in that:

> "...it does add a complexity, because getting eighteen people to agree on anything is always going to be harder than getting four people to agree on anything. And I think that's already begun to be demonstrated in some areas. But I don't think necessarily that it's a bad thing". (C/S/O/F4/Ln 51-54).

Clearly being at the centre of major restructuring has resulted in some tension between groups and individuals about the ultimate intention of making these changes and the surfacing of such tension is quite normal in these circumstances. Communication and consultation with staff is vital in times like these in order to minimise feelings of disenfranchisement and disempowerment.

4.2.3.2.4 Organisational Glue

A high level of staff commitment to students from all levels appears to be a major adhesive element which binds members of the institution. In spite of a perception of a sense of managerialism and the added pressures for income generation, there was some evidence across the range of interviews in a collective sense of pride in the spread of programmes, physical location and quality of teaching from some authoritative academics which has helped shape a common purpose and bind

members within the university, as illustrated by one management academic's comment:

> "I think there are a lot of people, some really top-notch academics here, who over the years have stayed far longer than was possibly good for them, in career terms". (C/A/M/M1Ln 785-787). And again from a member of support staff: "I have colleagues, certain colleagues in the department, who do well beyond what they're contracted to do and so that they can improve the student experience..."(C/S/O/F1/Ln 487-489).

This and other examples of heroes from within the university, reflect some of the values and assumptions of those staff interviewed, and are indicators of a position of loyalty and allegiance to the university. The general supportive attitude towards students, coupled with a strong culture of resistance to the central administrative machine appears to be the glue which binds the members of this university together.

4.2.3.2.5 Strategic Emphasis

Like the other universities surveyed, present day strategic aims for University C tended to be an eclectic mix of activities in response to a number of external forces including government, research, quality assurance, employers, demographic changes, globalisation and so on. The representative of senior management pointed out that students at University C were the nucleus of the university and were according to the representative of senior management: "asked for input into nearly all of our decisions" (C/M/O/M/Ln 231-232). The student body were clearly not perceived as passive recipients of knowledge from the academic body but were apparently involved in many aspects of university life including planning matters. The university appeared to have a strong internal focus where academics historically had a high degree of personal autonomy and authority which was perceived by some as being eroded as acknowledged by one management academic: "Yes, there is an encroachment on academic independence and autonomy" (C/A/M/M2Ln579). However the representative of senior management did acknowledge that the university was increasingly adopting an external focus as a result of the growing importance of the unregulated international student market. This re-orientation from internal to external marketisation appeared to have instigated a mild tension between

the strategic goals of "the Centre[85]" and some of the vocational practices of the academics within departments as the following quote from a member of support staff illustrates:

> "I think the Centre is very much research driven and those in senior positions want to move the University forward in that area. And whilst departments share a belief that research is important, they feel that the student is perhaps being left behind a little bit". (C/S/O/F3/Ln 267-270).

This perception was echoed by an accounting academic who reported:

> "I mean, I've recently been turned down for that [promotion] as well on a research basis and it's been implied if not said explicitly to me that I should be spending less time on my teaching preparation and it's not something that I'm really prepared to do because I think it's important. " (C/A/A/F/Ln 186-189).

Therefore in the academic's eyes, this is how strategic cultural values became operationalised. When asked for his views on the impact of external forces such as Personal Development Planning, the representative of senior management was keen to point out that phase 1 (the transcript – CV builder) is up and running, is automatic in that it pops up when students log into their e-mail but its success had still to be evaluated. The representative of senior management stressed that where strategic pedagogical issues such as PDP were under consideration that: "there's been a huge consultation with the student body about how we raise awareness of PDP." (C/M/O/M/Ln 559-560). However, no reference was made to staff consultation on this issue and when asked how familiar they were with student PDP, five of the six academics had little knowledge of the term and had only superficial knowledge of how it was progressing within the university as the following evidence illustrates:

> "It's [PDP] obviously coming from the...I would say it's the Centre...but as far as Departments are concerned it's one of these things that we're just not, we're not kind of pulled into it yet." (C/A/A/M/Ln 250-252).

One explanation for this lack of familiarity may be that implementation of student PDP within University C is being done by a central team of advisers including staff from the staff development unit rather (as in other universities) than by academics

[85] The Centre – a euphemism for the structure created by the university senior management

themselves. Three of the four support-staff appeared more familiar both with the concept of PDP and its implementation progress within the university, possibly for this reason.

Restructuring and a growing emphasis on income generation were perceived as variables that affected members' efforts and activities. However the key strategic priority, as intimated in the university's Strategic Plan and its Research and Knowledge Transfer Strategy document, is to remain a research-led institution which continues to improve its research base from externally won research income. This view was supported by several academic and support staff statements within this analysis and has been evidenced in the next section.

4.2.3.2.6 Success Criteria

When exploring measures to recognise, support, encourage and reward teaching, the representative of senior management pointed out that the university had a teaching fellow culture where you could be promoted to Senior Teaching Fellow (Senior Lecturer salary level) or Professor. However, several of the views expressed by two of the six academics and three of the four support staff suggested that a Teaching Fellow is perceived as a demotion and: "I think it's perceived as a demotion because they're not involved in research" (C/S/O/F2/Ln 379). One accounting academic noted: "I mean advancement is entirely based on research" (C/A/A/F/Ln 143) and this view was supported by a colleague who stated:

> "Yes. They [The Centre/management] will say teaching is important and we want to value good teaching but the practice will say that in order to progress, as Miss X is suggesting, if you want to be promoted then it's the research that drives it." (C/A/A/M/Ln 145-147)

Another accounting academic respondent commented that in terms of who gets promoted within university C, those that are more self-seeking are perceived as doing best, as illustrated by: "....it's the ones who aren't team players that get on." (C/A/A/M Ln 570-571). Where hitherto, the accepted route for promotion to Professor was dependent upon research output and successful grants, one academic noted that the current climate was leaning towards "...a factory philosophy towards research, increasingly" (C/A/A/Ln 800-801). The university had considered the idea of prizes for teaching, but as yet, had not implemented anything. In summary, the

general impression formed was that research was the main currency for promotion and advancement inspite of the existence of an alternative parallel route to Professorial level. This second route was perceived by a large number of those interviewed to be a lower status route to promotion.

4.2.3.2.7 Innovation in Self and Peer Assessment

When asked to comment on pedagogical risk and encouragement to innovate particularly in the area of self- and peer-assessment, the representative of senior management stated "We are not a control culture (laughs) right" (C/M/O/M/Ln 583) and indicated:

> "I know we do it [self- and peer-assessment] in my own department. I know they do it in education [faculty]. I know they do it in management" and concluded "I think there is a genuine, genuine spirit to try things out" (C/M/O/M/Ln 614-617)/(S5, SE).

Innovation and entrepreneurialism were seen as important markers for success as one accounting academic pointed out when asked to nominate a hero from within the university, the individual nominated was known for being:- " ... very entrepreneurial and innovative and has brought a huge amount of investment into the University" (C/A/A/F/Ln 800-801)/(S1, G).

Sometimes, however, being innovative and entrepreneurial came with a cost as pointed out by an accounting academic when providing a recent incident of collaborative venture with an overseas partner to illustrate the university's leadership style: "Now that to me is an example of how the University management have imposed their will on us" (C/A/A/M/Ln 1154-1155)/ (I2, NA; I5, EC).

Asked for factors which would stimulate and inhibit academics to experiment in self- and peer-assessment, the representative of senior management suggested the main inhibitor would be the time required [by the academic community] to learn about it. The main driver to explore this form of assessment would, s/he indicated, be "pedagogical in terms of philosophies of learning," (C/M/O/M/Ln 609-610). This view contrasted strikingly with one management academic who stated she would not use it: "Because students would rate each other very highly, I think" (C/A/M/F1/Ln 1323), and that their [the academics'] experience of it: "... is that the grading by the

students is unrealistically high...."(C/A/M/M1/Ln 1327). Another management academic justified her lack of interest in exploring the technique as being due to: "There's plenty of research evidence that peer review just doesn't operate, that it can be subverted very easily." (C/A/M/F2/Ln 1332-1333).

4.2.3.2.8 Data from Documentary Analysis

The textual sources selected from this institution comprised:- the mission statement, strategic plan, learning and teaching strategy and implementation plan were all accessible from the university web site. The undergraduate prospectus was readily available in hard copy.

All six academics expressed a very limited awareness of the mission statement or the strategic plan. Two of the four support staff were aware of the strategic plan and could recollect some of the details therein. All six academics had a working knowledge of the learning and teaching implementation plan and could recite at least two of the main priorities therein.

In summary, all four documents (mission statement, strategic plan, learning and teaching strategy and implementation plan) were known of by both academics groups and the representative of senior management with, for reason of reporting, the support staff also having a good knowledge of the KPIs associated with the L&T implementation plan.

4.2.3.2.9 Visual Meaning and Analysis of undergraduate prospectus

This document outlined the university's programmes, services and activities and had the essential function of (telling role) advising prospective students on criteria for admission, programme content, modes of delivery and learning, teaching and assessment strategy. Although arguably a secondary function of the prospectus was to inform (selling role) prospective students on aspects of student life, the aerial picture of the campus and surrounding countryside was clearly promoting the distinctiveness of the campus using promotional discourse such as "put yourself in this place" and *"The scenery on the campus is breathtaking, and you will be presented with a wide range of social, cultural and sporting facilities"*.

Images of the compact nature of the campus situated in "National Park" type setting and modern ways of learning are prominent within the document (a double page spread featured on page1, for example) conveying the impression of a "family-friendly" environment and may be aimed at stimulating a positive emotional response which such visual imagery arouses.

University C is a relatively new institution within the sector (circa 1965) thus links to any historical legacy are made through the City which it resides in as in "Student Feedback" on Campus Life on page 4. The prospectus categorises the latter as "A modern city with a historic past" though the number of references made about the city throughout the document are few. Many of the images present an impression of a campus-wide community spirit, and student quotes reinforce this expressed position. A number of photos of students are set within a backdrop of the leafy campus or the surrounding countryside as on pages 4, 6 and 7. The multicultural mix of student groups was less evident than that of University A, particularly after page four. Visuals of the learning process were more than counter- balanced with imagery of the environment, social life or the campus and were most notable on page 4/5 where only 2 out of the 11 visuals were students in a formal learning setting.

4.2.3.2.10 Analysis of Verbal Meaning

The document was clearly segregated into two major functional roles of such a document; the central function of (telling role) advising prospective students on criteria for admission, programme content, modes of delivery and learning, teaching and assessment strategy were clearly delineated in the second part of the document via pages 40 to 131. The secondary function of the prospectus was to inform (selling role) prospective students on aspects of student life, academic life and other resources and these were foregrounded on pages 1 to 39.

In terms of identity construction (reflecting what the university stands for) the university lists in the foreground of the prospectus, ten notable reasons why students should choose this university and environment, nightlife and friendly atmosphere are within the first six. Phrases reaffirming these "selling" dimensions were abounding

in the first thirty-eight pages of the document throughout the document illustrated by the Principal's welcome on page noting that "University C is a wonderful place..." and makes 5 references to the campus in the opening welcome and makes expressed invitation to personally come along and see it.

Not unlike university A, university C also devotes two pages of information to outlining the learning and teaching approach. Interestingly, in spite of the Principal's introductory paragraph stating that University C focuses upon "student-centred teaching and learning[86]" there is no further explicit clarification as to what this term means for students new to university learning and no explication from an authoritative source.

An indication of student expectations included an overall good student experience acquired through quality teaching and flexible learning opportunities in an attractive part of the country are markers of what makes university C distinctive.

There are a number of observations that can be made about the student quotes referenced throughout the prospectus. Firstly, they are modestly represented on the 133 page document (13 testimonials from a possible 57 courses mentioned). Secondly, the sentiments within the quotes appear to follow a pre-defined format where campus, university life and flexibility of courses are foregrounded, echoing and aligning with those sentiments expressed by the principal in the "Welcome". Although abundant references were made throughout the document to the Modern Campus, the City and student life, there were few mentions of the teaching experience from the high calibre academic/teaching staff – echoing the position found in University A – the Ancient University. The two page tribute on campus life from a second year Marine Biology student on pages 4 and 5 contains not one comment about teaching, the academic staff, research input or her learning experience. Furthermore, in spite of the explicit declaration on the excellence of teaching and research made on page 22, testimonials from students are weak on

[86] A number of UK universities now reverse these terms to reflect the leading focus on Learning and given university C's claimed central focus on students; its perhaps surprising "learning & Teaching" is not used here.

acknowledging and commending the teaching/researching expertise of the academic community; notable exceptions here are in History and Business Studies areas.

Overall a central message given off from the sentiments appearing within the prospectus from University C were on the campus, the facilities, community life, the city itself, rather than students' learning experiences. Although much play was also made of these dimensions in both transcripts and documentary artefacts the acclaimed high quality of staff teaching mentioned in several places in the transcripts did not figure prominently in student or graduate testimonials within this document.

4.2.3.3 Summary Observations – University C

In summary, University C presents itself as an institution with a configuration of Hierarchy/Market/Clan configuration where the Hierarchy culture type is markedly strongest but is shored up by a strong mix of Market and Clan cultures. It is perceived by the representative of senior management as strongly aligned within the Clan culture type. This contrasts sharply with the aggregate views of staff from all three focus groups, who position it within the Hierarchy quadrant of the Competing Values Framework model, and yet strongly influenced by the characteristics of the Market quadrant. This result is largely supported by the recounted perceptions of the other three groups interviewed, and as illustrated by the views of the support staff who noted that the university: "...is ranking research and income generation and almost lumping them together [in deciding what's valued for promotion]" (C/S/O/F4 Ln 786-787).

Thus an improved reputation through research grant awards, competing in the market place for external income, combined with increasing evidence of more visible management influence over organisational work practices are strong signs of a Market/Hierarchy culture influence. In spite of the university placing few evident (cultural) barriers in the way of academics experimenting in pedagogical matters, academics' experiences with self- and peer-assessment on the ground were limited primarily because of time to learn about its merits and in their shared beliefs of the inherent difficulties in using the self -and peer-assessment approach.

4.2.4 Case Study D

4.2.4.1 Overview

University D was a Modern (post-1992) university and claimed to be one of the most popular universities in Scotland, with one in three Scottish students applying to study there. International student numbers were increasing but mainly for postgraduate programmes. The university was rated one of the larger universities in Scotland in terms of student numbers, offering an extensive range of learning, research and knowledge transfer opportunities at a national and international level. In terms of its strengths, the university boasted one of the best learning environments in the UK. The university's mission statement at April 2007 was to provide high quality learning and teaching environment which is accessible, flexible, inclusive and underpinned by curiosity–inspired research. Knowledge and skills are directed towards delivering economic benefit for the communities it serves at a local, national and international level. Within the sector, the university had strong social justice and social regeneration agendas. The dominant academic values of the university as expressed by the representative of senior management centred upon providing a high quality educational experience for the university's student population, where a significant proportion of undergraduates were from disadvantaged socio-economic neighbourhoods. High standards in learning and teaching were therefore seen as pivotal to delivering this social agenda. Research, though seen as important, had to be capable of serving to improve the economic welfare of indigenous groups and the increasing international student population. There was a detailed learning and teaching strategy in operation specifying a number of enhancement themes and outcomes associated with each, together with a timetable, nominated group with responsibility for the achievement of outcomes and sources of accountability. Six out of the seven academics and three of the four members from the support services reported being knowledgeable of this strategy and having various degrees of involvement with the strategy and implementation plan.

4.2.4.2 Data results and analysis from the OCAI Questionnaire

Twelve members of staff were interviewed and all successfully completed the OCAI questionnaire. Individual representatives from each constituency are shown in table 4.14 below.

Table 4.14: University D - Staff Members from each grouping who took part in the case study interviews (N=12)

	Senior Management Representative	Management Academics	Accountancy Academics	Support Staff
Position	Representative of senior management	2 SL (1M,1F) 2 L (1M,1F)	1 Prof 1 SL 1 L	1 SM [87] 1 ASM [88] 2 PA [89]

Figure 4.10 below presents an outline graphical description of the distribution of aggregate culture types within University D resulting from analysis of the OCAI questionnaire.

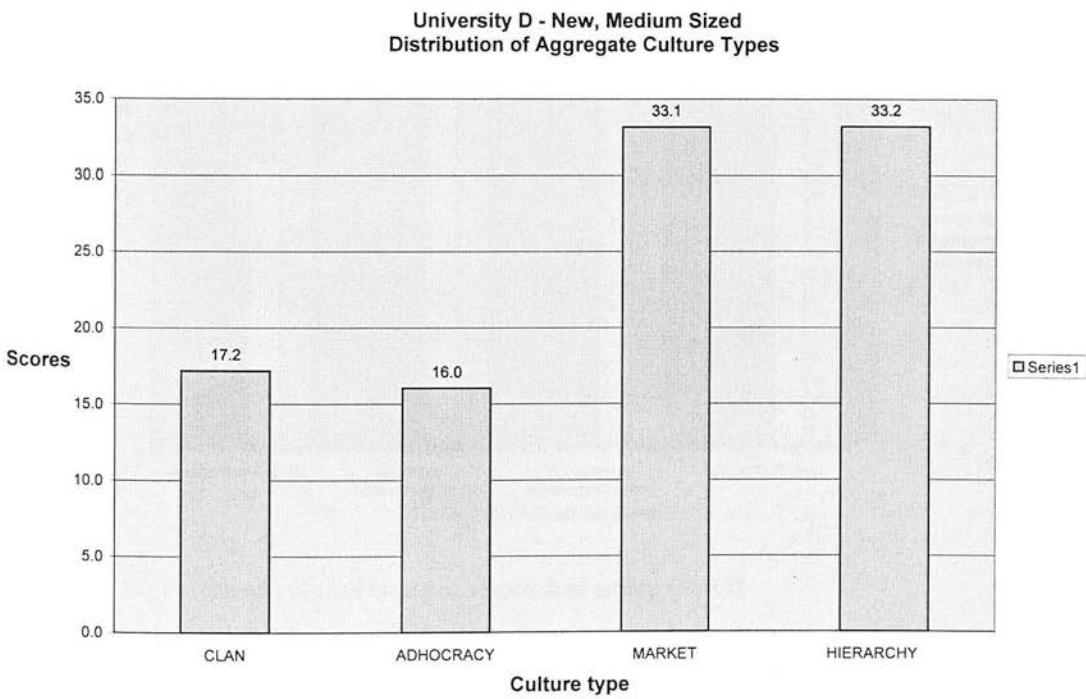


Figure 4.10: University D, Overall Aggregate Culture Configuration (N=12)

[87] SM is a School Manager
[88] ASM is an Assistant School Manager
[89] PA is a Programme (Course) Administrator

The results demonstrate that all four culture types are represented within University D as conceived by these twelve representatives with no one culture type scoring less than 16% and none greater than 34%. The columns scores from the overall culture configuration clearly suggest a predominant mix of Hierarchy (33.2%) and Market (33.1%) culture types in the fore ground followed by, in order of decreasing prevalence, Clan (17.2%) and Adhocracy (16%) culture types. Thus the overall aggregate culture configuration for University D is Mixed, with Hierarchy and Market culture types equally predominant and Clan and Adhocracy culture types each showing approximately half the cumulative scores of the former two types. These scores when broken down reveal a corresponding picture with Market and Hierarchy culture types being predominant for both academic groups and the support group, as noted in Figure 4.11 below.

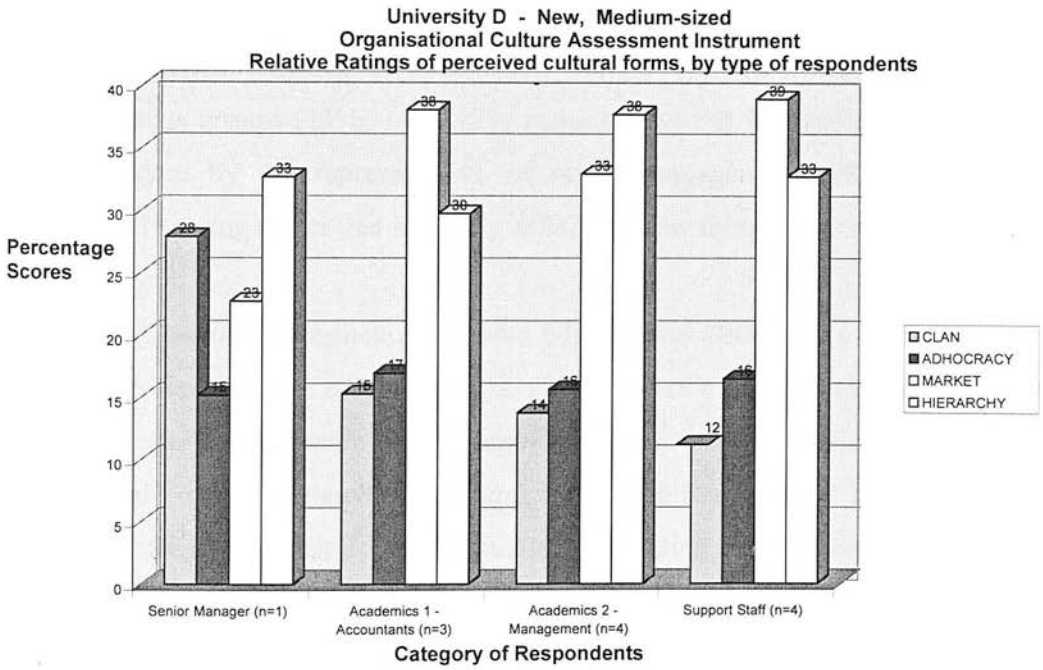


Figure 4.11: Perceived cultural type per respondent group (N=12)

A Market culture scores highest with the support staff (39%) a conception shared very closely by the accounting academics (38%), to a lesser degree by the management academics (33%) and least of all by the representative of senior management (23%). With the exception of the representative of senior management, the Clan culture type scores on average approximately one third of the cumulative scores of the leading culture type in each grouping with the Adhocracy scores in a

similar position. These Scores for a Market type culture may have been a reflection of feelings about an operating climate where globalisation, competition for a diminishing undergraduate population, combined with increasing pressure on funding new learning technological infrastructures all demand that universities be more Market focused. It is interesting to note that this impression of a Market focus is further reinforced from a cursory inspection of the prospectuses which sets out the University Student Terms and Conditions, a feature not unlike a commercial business contract.

The overall picture which emerged from these results aligned closely with the documented aims from the university strategic plan which aspired towards a strong international profile through excellence in teaching, learning, research and knowledge transfer. Also noteworthy was the Clan Culture type (the dominant type found in American universities (Obenchain *et al.*, 2002) was found to be weakest in all three focus groups (15%, 14%, 12% respectively) but was scored as the second strongest type by the representative of senior management (28%), perhaps an aspirational scoring rather that a scoring reflecting how things were at that moment.

Compelling cultural congruence for both Market and Hierarchy culture types was reflected in the scores of all four groups. This evidence suggests that the *-dominant characteristics, -leadership style, -approach to employee management, -reward system*, and *-strategic emphasis* all tend to indicate the same set of organisational values for these two culture types, possibly reflecting the university's historical legacy. The strength of the Hierarchy culture type is relatively high from all three focus groups but greatest within the management academics, support staff and representative of senior management.

Across the range of interviews conducted, a strong picture emerged of University D as predominately a configuration of Hierarchy/Market culture types, a learner focused institution underpinned by a small number of selective areas of strategically important quality research. However, one management academic maintained that the focus of teaching in University D is predicated upon the notion of learning content

rather than one of enquiry and interrogating the discipline "...we teach content well we don't teach people to think" (M/A/M/M1/ Ln 737).

Interim observations on the issue of identity and role suggest a dynamic university in the throes of shaping a very modern, business focused, student centred, demand driven institution.

These views are supported firstly by the aggregate responses to the OCAI questionnaire and secondly from other data pointing in the same direction.

4.2.4.3 Focus Group Interview Data

4.2.4.3.1 Dominant Characteristics

The representative of senior management interviewed summed up the identity and business of the university as follows:

> [this institution] "...is about getting kids from the poorest backgrounds you know, releasing their talent and transforming their lives through education, we have got thirty three per cent of our kids come from poor postcodes, so we are one of the best modern universities in Scotland because that's what we do so well, so learning and teaching has to be damn good, good best practice has to be embedded across the whole institution or you can't deliver on that". (M/M/O/F/Ln 279-284)

University D was in the midst of a cultural journey from a predominately hierarchical organisational culture to a more market-centric institution. This was to be achieved by establishing new flatter, more horizontal structures, which, the representative of senior management argued, would deliver new behaviours in trust, openness and accessibility through new mechanisms such as a series of senior management open meetings. The representative of senior management described the university as traditionally hierarchical, and noted:

> "...we were very managerial in our approach.... very ably managed, very top down, very HR focused, very managerially driven with a matrix model of management which lacked clarity where you had multiple managers managing individuals and it created stress, we had a blame culture..." (M/M/O/F/Ln 79-84).

Changing to a less hierarchical culture, the representative of senior management argued was necessary because: "Well we are in transition because we were very managerial in our approach" (M/M/O/F/Ln 79).

An example from the business faculty was provided by a member of the support staff and illustrates the bureaucratic predisposition towards decision making within university D, a characteristic of hierarchical organisational cultures:

> "Decisions or resolutions go through a due process, through expert advisory groups, through the school board, through the school management team, they are recorded and passed through the governors' processes and the University and yet certain individuals will continue to try and knock them down or try and take forward alternatives..." (M/S/O/M/Ln 755-759)

This emerging picture of a hierarchical institution was supported by scores from all four groups and reflected the marginally dominant culture type within University D. However, the representative of senior management indicated that the university was in a period of transition where individual autonomy, flattened management structures, an emphasis on entrepreneurialism, creativity and a move toward a managed risk environment would replace aspects of the former culture. This rationale would possibly account for the strong representation of the Market culture type scores. It was also noted that as a consequence of having an increased international student population:

> "...you have to have limits set on behaviours, reasonable limits, we are becoming more and more international we have got a lot of Muslim students here for whom alcohol consumption isn't enough so we need to be sensitive to those cultural differences in my view...." (M/M/O/F/Ln 660-664)

This changing social, economic and technological climate will demand the introduction of new social and other principles which instigate new norms for behaviour and reflect the institutions new intrinsic value set. One measure already implemented to facilitate appropriate behaviours with regard to alcohol consumption was the introduction of an Alcohol Policy, followed shortly with a Smoking Policy. This change process, the representative of senior management indicated, would necessitate the creation of other interventions that permit mutual insights into

members' assumptions, debating the principles of change in order to: "....take members of the academy with you...." (M/M/O/F/Ln 53-54). Typical forces involved in unfreezing members' assumptions would include market changes (external) or internal power struggles between diverse and warring subcultures (internal). The representative of senior management stressed that a number of interventions had been created, such as the series of open meetings. These meetings provided an environment for the exchange of mutual insights and the development of (and commitment to) the new value set and super-ordinate university goals which incorporate the social justice and social regeneration agendas. However, across the range of staff interviewed, few of the eleven staff had attended these meetings but they are nonetheless seen an indication that "...[the principal] certainly comes across as a listening Principal, which perhaps is a bit of a contrast with the previous principals that we've had." (M/S/O/M1/ Ln 993-994).

The strategic goals were to be achieved by the creation of four new structures (former faculties) which were to be directed towards promoting social capital and redressing social inequalities. Each faculty was to incorporate an institutional ethos which would imbue creative and innovative solutions to social problems. In order to achieve this agenda and because this is a university, the representative of senior management acknowledged "...you [the academics] have got to have high personal autonomy". (M/M/O/F/Ln 224-225).

Nearly all of the interviewees considered the institution to be distinctive for its developmental role with students, as explained by accounting interviewee (M/A/A/F/Ln 264-268) in echoing the representative of senior management's view:

> "I think we are trying to develop them as individuals, you know, that Mr XX is right that for a large number of the students they are coming from non traditional university backgrounds and therefore there is all sorts of cultural issues as well as just the pure knowledge base sort of thing so it's more of an experience really and hopefully they will leave us with better life chances than when they came in"

Across the range of academic staff interviewed, similar concerns recurred with regard to the continual changes culminating in a plethora of internal and external

policy directives such as programme restructuring, business school restructuring, demands placed on academics and support staff as the following quotes illustrate:

> "We are trying to be all things" (M/A/M/M2/Ln 82).
>
> "....we try to do everything and we have lost some of what was distinctive about us which was this whole thing about the academy being a place which cared for its students" (M/A/M/F1/Ln 84-87).
>
> "Careers come first... I think we are losing that and we are trying to do everything and we have now got this new kind of strand which is the social entrepreneurship which goes further than the previous agenda which was the social inclusion and caring and teaching" (M/A/M/F1/Ln 91-94).

4.2.4.3.2 Organisation and Leadership

As is the case with many large organisations, leadership within a university can be perceived to be characterised by remoteness of consultation, communication and decision making. The impression formed from the collective views of nearly all the academics and support staff was a sense that things in University D were not unlike this and some things were perceived to be ineffective in a number of key functional areas like finance, as illustrated by one accounting academic:

> "... my perception is that they [senior management] don't give financial control a high enough profile and I think the system for recording financial information in the university is extremely weak. They can't give you most information that you want" (M/A/A/M1/ Ln 373-375).

Where key strategic decisions affecting structure were concerned the same academic noted:

> "Well it seemed to me that decisions were being made on the basis of other sort of pragmatic issues rather than the things that are important and that concern me a great deal." (M/A/A/M1/ Ln 804-806).

University restructuring had recently taken place resulting in a scaling down of some committees and procedures as a consequence of implementing recommendations from a bureaucracy task force. It would appear this restructuring was long overdue as noted by the following support staff comments:

> "We are fire fighting, and there's crisis management, lack of effective and efficient support or backup from the central services of the University to

> allow us to achieve the objectives which we have, or I have...." (M/S/O/M1/ Ln 80-82).
>
> "There are things with IT, there are things with personnel at HR level, it includes things like the Finance Office, it includes things like Registry, it includes things like the Quality Office. Need I go on? "(M/S/O/M1/ Ln 87-89).

However, some members of this group (SS) felt it was too early to judge the new style of leadership within University D and pointed out that the representative of senior management had set up new procedures for improving communication and consultation staff should wait and see the impact and effect of these.

4.2.4.3.3 Management of Employees

A common thread cropping up from all three focus groups was the notion of a "them" and "us" "from the top" and "up from the bottom" as illustrated by the following quotes:

> "there is a lot of ideas and bits of paper that have to be completed for various initiatives that come from the top and you submit the bits of paper and they disappear into a file and they are never heard of again..."(M/A/A/M1/ Ln 149-152).

The reference to "them" in this context, as in the other case studies is a reference to Central Services sometimes known as "the Centre" and feelings towards this unit(s) from both academic and support staff were neatly summed up by the following quote:

> "They're like... I almost get the sense that a lot of my job is – and a lot of my colleagues' work – is all so devoted to feeding a beast at the centre of the University, which doesn't really support us." (M/S/O/M1/ Ln 93-95).

All three groups expressed a compelling level of frustration at the frequency of demands radiating from senior management and central service groups and this was neatly put into perspective by one member of support staff who stressed: "I think the whole point is that we are their [central service groups] customers, and they've long ago forgotten that." (M/S/O/F2/ Ln 738-739).

4.2.4.3.4 Organisational Glue

Rules and coffee mornings blended with a deep sense of commitment to student development was the glue which held the organisation together as well as some centrally run events, however the latter had tended to be infrequent and had more of a strategic political agenda. There appeared to be an artificial chasm between the academic community and support staff, and some of the latter would like to see the relationship as more of a partnership rather than a "them" and "us" relationship. One support member stated that there was blame culture which: "...stems from the lack of understanding on both sides, from the academic to the administrators. It's always going to be an issue but I think there's a huge gulf." (M/S/O/F2/ Ln 773-775).

4.2.4.3.5 Strategic Emphasis

The key strategic aims of the university had been directed towards delivering top quality learning and teaching experience for students, focussing on niche research strengths whilst ensuring that findings are applied for the benefit of local and other communities and to internationalise more of what they do. The application of the research findings will be principally within the context of an extremely strong social mission. The representative of senior management explained that the university had a number of strategic priorities but the top three were reported as:

> "...top quality learning and teaching experience for students, to focus on our research strengths that's a small number of areas of research strength and to ensure that we apply those research findings and to internationalise what we do." (M/M/O/F/Ln 12-14)

This comment converged with similar statements found in the university mission statement and strategic plan. However, some interviewees felt they were being overwhelmed with the number of strategic objectives being imposed and were particularly concerned about their ability to implement these as the following comments uphold: "We are trying to be all things." (M/A/M/M2/Ln 82) and by another management interviewee: "...we are trying to do everything and we have now got this new kind of strand which is the social entrepreneurship which goes further than the previous agenda... "(N/A/M/F1/Ln 91-94). Programmes offered were the product of detailed market analysis and demand driven, in a similar way to commercial business models. However, there was a sense of some tension between the university aspiration and university capability as illustrated by the following

comment from one support staff interviewee: "We're not geared up as an entrepreneurial business, we're geared up I think as some sort of public service organisation" (M/S/O/M1/ Ln 159-160). This capability was further questioned by another support staff colleague who observed:

> "I think it's [University D] risk averse because of the history of the institution, where it's come from, it's a young university, it's a teaching-led university, it's a government-dependent university..." (M/S/O/M1/ Ln 1199-1201).

The predominant finding being sensed here was one of misalignment between the aspiration to be entrepreneurial and risk inclined as reflected in university documentation (strategic, plan, mission statement, prospectuses) and members' perceptions and basic assumptions of the institution based upon their experiences and beliefs.

4.2.4.3.6 Success Criteria

Across the range of academic interviews there was some consensus that teaching did not rate for promotion and whereas hitherto research was perceived as the currency for promotion to Professor level and was now seen as mandatory for promotion to Senior Lecturer level, there was a growing feeling amongst academics and support staff that only research and income generation would be considered for promotion, as illustrated by the following:

> "I would say that research hitherto has been very important but income generation has been very important as well with not maybe as much allowance for different cognate areas as perhaps brought to bear" (M/A/A/F1/ Ln 860-863); "Research and income generation is the key, isn't it? That's the main two", N/S/O/F2/ Ln 1097);

Even though a pedagogy route had been introduced for promotion and two academics had been promoted to the position of Teaching Fellow (SL equivalent) one management academic noted:

> "...I don't know whether it was bitchiness or whatever but some people who got their promotion [to Teaching Fellow] on the grounds of pedagogy there was quite a lot of well not a backlash but there was actually quite a lot of...[resentment]." (M/A/M/F1/ Ln 288-290)

For academics, the route to success still appeared to be research for a Professorial title and the perception reported was that any route other than research was perceived as inferior. For those academics keen on promotion, experimenting in innovative learning, teaching or assessment systems was perceived to be a serious distraction from achieving this objective.

The representative of senior management described the university as one which was moving forward with a new agenda promoting the social capital of the university, establishing new forms of reward and recognition where:

> "....what we are trying to do is make sure that XXXX our receptionist on the XXXX building... has the opportunity to be rewarded in the same way as the poshest professor. That's where we are moving." (M/M/O/F/Ln 431-434)

It would appear that although there are some moves by the senior management to introduce new promotion criteria and policies for recognition and advancement, it would be some time before pedagogical advancement was seen as equivalence to advancement based upon research.

4.2.4.3.7 Innovation in Self- and Peer-Assessment

Asked for their views on how the university responded to external influences such as Personal Development Planning, one senior support staff member who had a broader insight into the various divisions uptake of PDP commented that implementation varied across the programmes and success was patchy. Other views on PDP were concerned with the time consuming aspect of the exercise, the lack of clarity on its purpose from both a student and staff perspective, and the resourcing of the activity (I4, RC).

On the theme of risk and encouragement to innovate in pedagogical practice, the representative of senior management reported that "We need to promote it" (M/M/O/F/Ln 600). However, when innovating into self- and peer-assessment, where students can determine the mark awarded to their peers' work for final grading purposes, this member's view was that at the end of the day what would be required was: "....some objective independent measure of student outcomes, at the moment

because of the way the culture is, the environment is...." (M/M/O/F/Ln 690-691) – a possible reference to the litigious society, which may also partly explain the contractual terms set out in the student prospectus. Thus, in relation to individual academics adopting student self and peer assessment as part of their assessment strategy, the view of the representative of senior management was:

> "Now, the challenge for us, then, is to say to take that student and peer-assessment and sit it alongside the objective measures and to decide, you know, what the balance of the overall measure is going to comprise, that's still to be worked out, so a lot of work to be done". (M/M/O/F/Ln 707-710). (I1, HS; I5EC)

Academics' views, however, provided a more insightful justification as to what appears to constrain academics from innovating into self- and peer-assessment as illustrated by a management academic interviewee (M/A/M/F1/Ln 1063) "A fear of student complaints to a certain extent....". Another management academic interviewee commented:

> "You try to be objective. I would suggest that the obvious subjectivity that students bring in to peer marking and the lack of experience and the fact that we are expecting them to be as knowledgeable or as experienced [as academics]and to be fair with each other, you know.... "(M/A/M/F2/Ln 1085-1088).

A fairly recently appointed accounting professor with a substantial interest and expertise in accounting education also admitted: "....I am very uncomfortable with the idea of students grading themselves...." N/A/A/F/Ln 503-504). And justified this view on the grounds that she taught honours modules which were exit awards (and presumably considered too risky at this level). (I2, NA; I4, RC)

4.2.4.3.8 Data from Documentary Analysis

The mission statement, strategic plan, learning and teaching strategy and implementation plan were all accessible from the university web site. The undergraduate prospectus was readily available in hard copy.

All seven academics expressed a good awareness of the mission statement with fewer having a working knowledge of the strategic plan. Two of the four support

staff were aware of the strategic plan and could recollect some of the details therein. All seven academics had a working knowledge of the learning and teaching implementation plan and could recite at least two of the main priorities therein.

In summary, all four documents and some of the details therein were known by both academics groups and the representative of senior management with the support staff also having a good knowledge of the KPIs associated with each.

4.2.4.3.9 Visual Meaning and Analysis of undergraduate prospectus

Similarly to the previous two case studies, the undergraduate prospectus document for university D conforms to the broad economically driven imperative of attracting and informing potential consumers.

University D's prospectus represented the most striking contrasting example of a document containing interdiscursively complex expressions of a variety of genres (e.g. promotional, informational and legal) and discourses. A notable illustration of these was the glossy (magazine–like), single colour front cover with a small number of polished photos of building reflecting a modern, business-like environment. This front-cover image contrasts sharply with the ones being conveyed from both the Ancient and Civic universities. The image of a modern, sharp, professional institution is repeated and reinforced with the commercial discourse contained on the reverse of the front cover – which lists the University/Student Terms and Conditions contained in contractual genre. All eight images signifying the eight academic schools are represented by abstractions often found in modern art.

In terms of the "telling role" of the prospectus, University D foregrounds a number of aspects normally associated with legal contracts and in this case pertaining to the legal issues in delivering/not being able to deliver programme. These are couched in caveats and qualifications – similar to those normally found in a business contract. The image of the Principal on page 1 is likened to that of the chairperson in a business talking to shareholders (single shot, formal, business dress code), clearly set apart from the image of the student president (contrasting starkly with that found in university C, where Principal and student president were together in one shot.

The imagery also presents an ambiguous picture in places. The first full page image of Scotland is Edinburgh and not the city hosting the institution. Thus the emphasis is on the country and not the campus or the city where the institution is based. This contrast strikingly with the Principal's opening welcome remarks which states that the city hosting the institution is "...one of the most exciting cities in Europe". The general imagery presented through the document conveys a feeling of modernism, innovative, ground breaking, novel, "switched-on". This image is also complemented and reinforced in the range and types of courses on offer, such as those in Multimedia Visualisation, Mechatronics, Forensic Investigation. Programmes/courses not normally associated with the conventional university education.

Visuals of the learning process set in a non-standard lecture/seminar setting are abundant throughout the document such as on pages 41, 47, 55 and 83 once more projecting a contemporary approach within a modern learning environment.

4.2.4.3.10 Analysis of Verbal Meaning

In terms of identity construction, declarations alluding to the pedigree or history of the institution were found at course/programme level as on p 47: "This degree is one of the longest established and most highly rated of its kind in Scotland". The Principal's welcome emphasised the notion of what the institution is (a campus with 21st Century facilities) and was aspiring to be (large, modern, cosmopolitan, learning-learner centred.

The section in the prospectus devoted to learning and teaching had two pages explaining the structure and approach (semesters and modules) and methods (lectures/seminars/labs and assessment) used. These could be considered traditional and standard in nature and mis-aligned with pictures of modernism, leading technology and vocational focus which other parts of the document present. The modal language used in the context of the learner had an instructive tone (didactic school) associated with teaching students, rather than a learning tone where emphasis was on the student actively seeking out the learning. Specific points about what

students will learn referred to curriculum content. Very little mention was made of innovation in teaching, learning or assessment. Very few references were found relating to teaching staff in terms of their teaching expertise, professional backgrounds or research pedigree. There are a number of interesting observations that can be made about the student quotes throughout the prospectus. Firstly, of the eight quotes, four were predominately about the facilities, two were about the good standard of teaching, one about the excellent campus and one about professional accreditation. A number of employer or graduate views also appeared throughout the document, but comments upon teaching quality were in the minority. Secondly, the fonts used to express the sentiments were typical of those found in business or corporate literature reinforcing an image of a business or professional setting – an image being presented from the other data sources.

Although some emphasis was made on the idea of learning-learner, modernism, hi-tec and professionalism of University D in both transcripts and documentary artefacts, there were few instances of innovative learning/teaching noted. Furthermore, a high quality of staff teaching did not figure prominently in student/graduate/employer testimonials within this document.

4.2.4.4 Summary Observations – University D

The substantive findings from this section appear to suggest that University D was an institution which had not yet reached the level of organisational maturity it aspired towards. Whilst projecting signs and symbols of a modern, leading-edge (innovative) university predisposed towards a measured level of risk-taking, there was a perceptible feeling of risk averseness arising from the focus group interviewees. To truly achieve their aspirations would demand a perceptible change of direction from the perceived hierarchical, cautious, risk-averse culture in some aspects of LT&A practice inferred from the synthesised data, to one which embraced and encouraged creativity and innovation in general and pedagogical innovations like self- and peer-assessment in particular. This had to be seen in the context of the university's legacy, which was a rich tapestry of noteworthy events and had tempered attitudes and beliefs and norms over this legacy. An impression began to be formed of a faculty committed to the core mission of the university in terms of developing

students from non-traditional backgrounds. There was some evidence of a perceived tension in the relationships between the central services and other sectors of the university. The notion of an oppositional dualism surfaced (them and us) in several interviews and it was noted that the senior management team had been reduced partly in order to address this concern. Several of the academics promoted the view that academics in this institution responded to centrally-driven innovation rather than to individual or departmental initiatives. It is a moot point as to whether the initiatives and attitudes of the new representative of senior management and senior management team will be able to move the existing culture to be more innovative and risk inclined in pedagogical innovation at these two levels. Finally, the reported perceptions of those academics interviewed indicated some concerns with regards to students undertaking self- and peer-assessment for grading purposes.

4.3 Summary of Findings

The findings from this chapter incorporated two pieces of fieldwork. The first set of findings was the results from the electronic survey issued within the Scottish university sector, to the sample frame of academics within the accounting and management cognate areas. The findings from the electronic survey questionnaire suggest that self- and peer-assessment have been applied in a modest yet encouraging way within the two cognate areas surveyed and are predominantly used in the assessment of groupwork, projects and oral presentations. The least reported use was in the assessment of numerical analysis. The most common level for applying the techniques are levels 3 and M (postgraduate excluding professional which had the least reported level of activity in both self- and peer-assessment). There was some evidence to acknowledge traits ordinarily associated in the literature with the existence of a university culture within each institution as defined by the researcher's conceptual model (Fig 2.3), which suggested all three institutions manifested different cultural configurations and profiles. There was some evidence to suggest these cultures had some bearing on supporting/inhibiting academics in undertaking innovation in self- and peer-assessment. These and other observations are summarised in Table 4.15 and will be aligned with the literature and discussed in the following chapter.

Table 4.15: Summary University Culture Profiles linked to Innovation in S&PA

University A	
Overall Profile	Mixed - Clan predominant
OCAI: **Overall CC** **Predominant**	 Mixed Clan, Market
Interviews and Documentation	Clan predominant
Innovation Dimensions	Regulations do not prohibit innovative activity. Some evidence supported this. Inhibitors to S&PA: • Inherent complexities of set up; • Academics' distrust of students' ability to mark objectively. • Cautionary distrust in innovating in high stakes innovation. • Procedures & committees (but avoidable) • Form filling necessary. • Lack of supportive mentors • In some cases having to engage with departmental or institutional politics Support for S&PA: Student demand; Financial reward.
University C	
Overall Profile	Mixed – Hierarchy predominant
OCAI: **Overall CC** **Predominant**	 Mixed Hierarchy
Interviews and Documentation	Hierarchy but perceptible tension between Representative of Senior Management and other 4 groups
Innovation Dimensions	Some reported evidence of S&PA practice; Inhibitors to S&PA: • Time to learn and beliefs of inherent difficulties in using them e.g. Students' grading unrealistically high; Support for S&PA: • Incentives:-philosophy of learning within the policies but no sustained evidence of interest in this from individuals within academic groups; talk about prizes for teaching but management not implemented the idea yet.
University D	
Overall Profile	Mixed Hierarchy dominant
OCAI: **Overall CC** **Predominant**	 Mixed Market and Hierarchy equally predominant
Interviews and Documentation	Hierarchy – migrating towards market
Innovation Dimensions	Very little evidence of S&PA practice Inhibitors to S&PA: • A fear of student complaints • Subjectivity students' bring to marking • Student lack of experience • Uncomfortable with it at exit awards Support for S&PA: • Research • Efficiency of resource

4.4 Chapter Summary

This chapter reported firstly on the general statistical data from the online survey on self- and peer-assessment gathered from the fourteen Scottish universities and secondly on the mixed data reporting on the organisational cultural factors supporting/inhibiting pedagogical innovation using a number of key dimensions as indicators of innovation. The former data were necessary to comment upon the current incidence and threshold of pedagogical innovation as represented by self- and peer-assessment. These data were necessary to establish the broad context on self- and peer-assessment practice and to obtain a broad picture on perceptions and experiences on these assessment techniques. The second group of data from phase II introduced discussed and established an overall organisational cultural profile for each university case study. All three profiles are quite different, reflecting their data. This section summarised the interim findings from this research, which incorporates two pieces of fieldwork. It is acknowledged that the evidence gathered and analysed was acquired from glimpses through limited opportunities to do some surveying of some individuals for a restricted time.

CHAPTER 5:
DISCUSSION

5.1 Introduction

This thesis set out to examine the nature of the relationship between university culture and pedagogical innovation by exploring the factors which influence levels and occurrences of pedagogical innovation in two cognate areas within three contrasting university types. In the discussion which follows, specific findings from chapter Four will be commented upon and related to the literature and research questions.

This discussion will comment upon what has been learned from these data about universities and their organisational cultures in supporting and inhibiting pedagogical innovation. A second theme will comment upon what we have learned about the people who work in these universities, and how they perceive and experience the organisational cultures in which they work. Finally, the features of innovative behaviour that surfaced between the different staff groups within each university and across all three universities will be examined and related to the literature.

Much of the literature has, to date, identified a range of factors contributing towards impeding pedagogical innovation, and included in these are: the conflicting roles of schools, conflicting demands upon faculty time and priorities, departmental paranoia, career disincentive, reluctance to change teaching style, student reluctance to accept change and expense (Thomson and Williams, 1985). The nature of the relationship between organisational culture and innovative pedagogical practice was mapped out in chapter Two and pointed to a potential connection between university culture in supporting or inhibiting pedagogical innovations such as self- and peer-assessment. As MacDonald (1974, in Hannan *et al.,* 1991) commented, pedagogical innovations can have a penalising effect as they can result in increased workloads, undermine confidence and make innovators unpopular with colleagues, who may be suspicious of their enthusiasm, feel bitter about their disproportionate share of resources and feel threatened by their ideas. Some of the findings from the present study have endeavoured to explain and position this connection and these comments. It is acknowledged, however, that the meanings derived and interpretations formed were constructed through the exploratory lens and background of the researcher and that a researcher from a different academic background and set of lenses, may derive

alternative meanings and arrive at a different set of interpretations. Thus, with these qualifications in mind – what the evidence suggests and what can be reasonably inferred from the evidence presented will be the focus of the following sections.

5.2 Universities Organisational Culture(s)

In chapter Two we saw that the general literature investigating organisational culture within industry and other organisations demonstrated that organisational culture can be identified, measured and scoped out using a number of existing, tried and tested tools. This review did not discover or conclude that the cultures reported within any one setting were unitary. From the present study, the overall picture of universities that surfaced in this regard echoed this position. In chapter Four, where the focus was on the analysis of university staff as members of predefined cognate areas and other structural proxies (general staff and senior management), it became evident that the data derived from the culture questionnaire (OCAI) and the focus group interviews supported the position that no monocultural type existed in any of the three institutional case studies. In essence, cultural types co-existed within the same institution in this study. One interpretation of this position may be that cultural division is profuse across all three types of university, weakening the argument for a unitary culture within universities - a view supported by Van Vaught (1989) and Silver (2000). This finding bears similarity to and thus adds weight to the observations formed by Obenchain *et al.* (2002), Smart and St. John, (1996) and Sawbridge,(1996) which pointed to the existence of culture(s), as members of those organisations conceived and defined them. However, the findings from this study also contradict the view of Silver (2003:167) who concluded "Universities do not now have an organisational culture". It appears that views on this issue remain contested and divided.

The findings also show that we can successfully apply the organisational culture classification model devised by Quinn and McGrath (1985) in a way that is theoretically consistent with their original conception and which is subscribed to by other researchers - for example, Obenchain *et al.* (2002) and Smart and St. John (1996). However, the research findings also brought to light that the CVF typology fell short when applied to a university context in that it (CVF) did not constitute the

only classification of cultural types and where other means arise in future to gauge, for example, research cultures, teaching cultures, administrative cultures, innovation cultures etc., these may have equal validity and prominence in the overall assessment of a university's organisational culture. Irrespective of this weakness, the data did show, however, that the model used was a powerful, useful, valid and easy to apply tool in that it adequately projected the perceived ratings for each dimension of organisation culture from the model and reflected these in a manner that was graphic and easy to comprehend – albeit in a different arrangement to that depicted by Cameron and Quinn (1999).

5.2.1 Organisational culture within the chosen settings

The data gathered from individual-level cultural interviews with the representatives of senior management suggest that forms of direct intervention in pedagogical innovation within the academic community varied across all three types of university. Most academics in the Ancient university (A) reported there was little attempt to interfere with academic freedom, a position in line with traditional expectations of such establishments (Weick, 1976). This contrasts with the position reported in the Civic university (C) where there was a view being projected that extensive restructuring and escalating intrusion in operational academic matters by senior management, was a response to the increasingly competitive environment in which the university now found themselves. In the Modern university (D) there was some clear evidence of restructuring fatigue as a consequence of the reported numerous attempts at adapting to the highly competitive external environment. Thus in terms of structuring and organisation, the Ancient university (A) was observed as differing from its Civic and Modern counterparts. In terms of the external environment, there appeared to be a broad consensus within the staff groups interviewed in university A that large institutions were difficult organisations to turnaround because of their pedigree in terms of history and traditions and also their scale in terms of structures and staff numbers. University C (Civic) however had a relatively short-lived history whose foundations were less established and deep-rooted and had fewer staff than university A. Thus the overall scale of operations was relatively smaller than in University A and comparatively similar to that of University D (Modern) who may be considered a relatively young participator in the

university sector. Because of the dynamic environment in which most universities now find themselves, university D and possibly other post-1992 universities will find it more challenging to establish firmly the explicit and implicit mechanisms which constitute the backbone of any culture. Consequently there is a significant challenge presented here for university management.

5.2.2 Organisational Culture Profiles within University Settings

We saw from Chapter Four that the data identified from the OCAI questionnaire may present an organisational cultural picture which is not readily apparent and that the three universities are more like than unlike one another. However, taking the aggregated culture configurations for each university (see Figures 4.6, 4.8 and 4.10) the findings start to suggest that the cultural variant which scored high across all three university types was a Market culture type. This observation offers a modest level of consistency with the interview, OCAI questionnaire and documentary data, and was interpreted by the researcher as a possible reaction to the new global landscape in which universities found themselves.

Setting aside this common culture type (Market), we then saw the next most dominant culture forms within each type of university as: Ancient – Clan; Civic – Hierarchy; Modern – Hierarchy. The Adhocracy cultural type was the least visible in terms of prominence across all three contrasting universities – a surprising finding, given its role as a supportive cultural type in innovative studies. Interestingly, when analysing the values ascribed to each quadrant of the CVF model, these cultural positions offer a number of useful insights. Some values in opposite quadrants of the CVF model (Fig 2.2) may reinforce each other on certain dimensions while others in the same adjacent quadrants may exert competing pressures - for example, Managerialism (Hierarchical) may reinforce Control (Market) whilst competing with Openness and Flexibility (Adhocracy). In the latter case it seems reasonable to conclude that universities with large numbers of non-adjacent value regimes would be marked by more frequent occurrences of tensions and conflict. For example, within the Civic (C) and Modern university (D), values in the Hierarchy and the adjacent Market quadrants of the model (fig 2.2) contain some strikingly similar features, for example the Control dimension – achieved in one through hierarchy

authority (Hierarchy culture), and in the other through external competition (Market culture). Some of these research findings from universities C and D offer modest support to premises advanced in the current literature (Bryan and Clegg, 2006) drawing attention to increasing levels of tension resulting from restructuring, increasingly centralisation and control. To some extent the present study also suggests a connection between university culture with the dispersion and penetration of pedagogical innovation. In particular, this connection stresses the influence of university culture strength in conjunction with culture type, the former aiding in an indirect manner the progress made by the latter in supporting pedagogical innovation. For example, in the context of Fig 6.2, University D's strong Hierarchical culture is not noted (Obenchain, 2002; Smart and St. John, 1996) for being supportive of innovation (unlike Adhocracy for example). University A, in contrast (Ancient), also has representation from all four cultural types but the strength dimension is greatest in Clan and Market (adhocracy being noted from the literature as having a positive influence on pedagogical innovation).

5.3 Interviewees' Perception of their University's Culture

A number of themes resonated across all three types of university. The first related to the interviewees' reported perception of an organisational culture within their university. Almost all individual and group-level interviewees appeared to accept that an organisation culture existed (broadly defined) within their institution although this was conceptualised as different things by the groups interviewed and was reflected in the cultural profiles extracted from the data. These cultures were variously reported in organisational sagas, heroes, symbols, rituals stories and legends which prolong and strengthen key values and norms of behaviour. Rules, procedures and policies were also perceived as elements which were all seen as components of an institutions organisational culture. People's assumptions about these rules, procedures and policies to some extent shape their thinking, behaviour and work ethos and practices. For the Ancient university this was encapsulated in the term "Research-Led"; for the Civic university, by the term "Dual mission of Research and Learning and Teaching" and for the Modern university, "Learning and teaching coupled with highly focused Applied Research". It became clear from these interviews that the classical view of organisational culture typology adopted from the

literature for this research (i.e. Clans etc.) represents only one typology of organisation culture; interviewees in the focus groups regularly referred to *a management culture, a research culture, an administrative culture* and so forth. Across all three institutions the findings from the culture questionnaire (i.e. OCAI) showed some measure of discrimination between the alternative culture forms from the CVF model, suggesting that members conceive no single unitary view of organisational culture, but rather that different cultural forms co-exist, supporting the earlier work of Sawbridge (1996). This proved a disappointing yet interesting result in that the CVF model did not yield comparative findings to those earlier US-based works of Cameron and Quinn (1999) and Smart and St. John (1996). It may, however, be an early warning that Scottish universities are adjusting to the new global economic reality of a highly competitive market place for students, research and other income as suggested by Silver (2003). From all the interviewees in the Ancient university (A) emerged the feeling of a strong collegiate culture rooted in their beliefs and values of the history, tradition, ceremonies, stories, rituals and language of their university and reflected in weak (but not subversive) sub-cultures evident within both academic groups. Within the Civic university (C) there was less evidence of a predominant culture and greater evidence of a number of intense subcultures - an administrative sub-culture, an academic sub-culture with a strong research agenda, and an increasingly prevalent managerialist sub-culture. The two greatest concerns expressed by both academic groups here were firstly, the strong feeling of overriding academic values from an invading managerialist culture, managerialist values and interests. For example, there was a common perception across some of the academic groups of control reverting to the Centre[90], resulting in feelings of powerlessness, mistrust of management motives, and low morale. Secondly (and most notably within the Civic and Modern universities) a feigned commitment to student issues both at a departmental level – for example the junior lecturers who had been interviewed reported having been strongly advised to concentrate on research over teaching - and again at an institutional level where very little evidence could be identified to substantiate senior management's espoused claims of institutional commitment in terms of recognition and reward of outstanding teaching and innovation. This feeling was experienced and expressed by most

[90] "Centre" in this context being the non academic departments including central and support services.

members within the two academic groups and support groups from the Modern university. Several interviewees reported personal experiences which illustrated the degree of centralisation, remoteness and structuralism prevalent within their institution, coupled with a lack of substantive evidence of support, recognition and reward for highly innovative or outstanding teaching. This latter point proved particularly paradoxical, given the espoused positions declared in each of the three prospectuses analysed, all of which vividly stressed the importance of innovative learning and teaching – a position clearly frustrating a number of those participants interviewed who aspired to be recognised and rewarded for their [outstanding] teaching but reported that research was still perceived to be the main currency for advancement and promotion (particularly to professorial level). This proposition has major implications for academics seeking advancement, but also for university leaders, including those charged with the promotion and implementation of learning and teaching strategies, policies, implementation plans and pedagogical innovation. It also supports the earlier work of Smart and St. John (1996) who argued that the alignment of espoused values and actual management practices was essential in influencing individual behaviour and activity. The findings from this study of three Scottish universities suggests a closer alignment between espoused cultural values expressed in policy documents and other artefacts, and actual management practices may be worthy of further review. However, it is accepted that because of the diverse types of universities, the inherent complexities within their structures and the nuances within the relationships of the various members, these typologies (Clan etc.) and models (Schein, 1984) from the literature may be attempting to oversimplify complex phenomena. However, they should not be ignored, as they may guide future empirical work and facilitate the generation and refinement of theory. For example, future work in this area may consider whether strong academic cultures are more (or less) effective than weak cultures and which two or three of the five key dimensions of innovation are in the ascendancy at any one time.

The qualitative evidence from the interview transcripts and artefacts support the quantifiable measures of organisational culture from the OCAI that address those universal attributes of universities. These attributes characterise the shared espoused values and norms held by organisational members (Tierney, 1988) and mirrored in

the OCAI to address the fundamental character of the university, namely the image of leadership, the bonding mechanisms and the strategic priorities. However, the findings also support the alternative conceptualisation of culture proposed by Van Maanen and Barley, (1985) that a unified culture is difficult to maintain and that a further attribute should be its *reproductive and adaptive capacity,* which is also addressed by the CVF model and is applied in this thesis. The findings therefore qualify some of the extant literature, which suggested that universities in the US exhibit a unitary cultural type of Clan, Market, Adhocracy, or Hierarchy as established by Obenchain *et al.* (2002). The findings from the present study offer some support to the notion of a co-existence of alternative culture(s) within the Scottish universities surveyed. This observation is supported by two of the main data sources (OCAI and interview transcripts) which clearly present differences in perceptions, thoughts, feelings and priorities amongst each of the four groups in the Ancient university (A), some consensus amongst each of the four groups in the Civic university (C) with a stronger and more congruent cultural pattern being presented from three of the four groups in the Modern university (D). Data from the interviews suggests that the occurrence of pedagogical innovation - in terms of self- and peer-assessment - can be partly influenced by organisational culture type. This confirmatory position supports the work of Obenchain *et al.* (2002) who established a relationship between Adhocracy, Market and No-Dominant culture types, with innovative implementation in universities. The findings are also supportive of the proposition that the influence of a *research culture* and the wide variety of tasks which university academics are now expected to undertake may be a factor in explaining academics' indifference to embark on pedagogical innovation. This point was lucidly illustrated in section 4.2.2.3.1 by interviewee (A/A/M/F1/Ln 938-945) from University A.

This evidence offers some insight into the increasing pressure which now seems to characterise contemporary university life for some academics, not only exemplifying a sense of "academic stretching" in terms of an increasing, disparate and diffuse range of tasks to be undertaken but also a view surfaced that no matter what is done, it is not good enough. These accounts may go some way to account for and explain low-level individual, departmental and institutional responses to governmental,

institutional and departmental pedagogical initiatives such as PDP and innovative assessment.

Although each cultural type (Clan etc.) was apparent within each institution, the aggregate scores revealed that the overall strength[91] of the predominant culture was no greater than 29% in the Ancient (A), 36% in the Civic (C) and 36% in the Modern university (D). Despite the supporting evidence of mixed cultural forms (Clan etc.) in all three types (Ancient etc.) of university, the intensity of the shared experiences of each group within each institution was appreciably discriminating. However, this intensity may be localised to those groups interviewed and a broader range of representatives from across different faculties and schools and departments within the existing case studies is necessary to support this proposition. Although the Competing Values Framework and Organisational Culture Assessment Instrument proved useful tools in building an initial organisational culture position for each institution, the interviews and supporting artefacts (prospectus etc.) permitted the sculpting of a comprehensible organisational culture *profile* by asking participants searching questions on their professional relationship, views on assessment, significant events and what they thought constituted higher education values and ways of life in their institution, the responses to which are expanded upon below.

At a *strategic level*, all three categories of institutions demonstrated awareness of the external environment in terms of capping on funding, competition for students, employer demands and requirements from professional bodies. The Modern university (C) reportedly offered the most evidence to suggest they were the most responsive [of all three university categories] and actively engaged with government initiatives such as PDP and third stream income[92] initiatives.

Leadership within the Ancient university (A) was viewed differently from that within the Civic (C) and Modern (D) universities. Although the espoused values of each institution - as reflected in the range of artefacts reviewed - broadly echoed each

[91] Strength here was defined here as the extent to which the dominant cultural values are held, by whom and for how long and are reflected in the ratings received (Chapter 2.3)
[92] Third income stream – a term commonly used to refer to those sources of income other than from teaching and research and would generally include areas such as consultancy and knowledge transfer partnerships.

other in terms of aspirations, in the Ancient university leadership was perceived - based on all participants reported experiences – to be actively committed, involved and supportive of learning and teaching issues as illustrated by the *Annual Award for Outstanding Teaching* presented at Graduation. In the Civic university (C) the increasing sense of managerialism was overwhelmingly perceived as the dominant leadership style whilst in the Modern university (D) the leadership was perceived as centralist, remote and controlling. Analyses of the university prospectuses (see section 4.2.4.2.9) broadly tend to support this conclusion. Only in the Ancient university (A) was there evidence of formal recognition for outstanding teaching and learning but even here only one instance could be supplied.

With respect to the *management of employees,* there was a general sense materialising from most groups (excluding the representative of senior management) of a feeling of *managerial presence*, most notably by members within the Civic (C) university and to a lesser degree within the Ancient university (A) where management were perceived to be less intrusive on the day-to-day running of courses and departments but were available, committed and involved when needed for matters of a more strategic nature where the reputation of the university was at stake.

A strong research culture (sections 4.2.2.3.5; 4.2.2.3.10) was believed to be a *dominant characteristic* within the Ancient (A) and Civic (C) universities and was creating tension amongst some academics who felt a compelling sense of duty to their students and the learning and teaching role, and were feeling disadvantaged for promotion because of a strategic focus on research within their institutions. When this research focus is set alongside new demands for increased business development, increased targets in international students and more integration of technology within learning and teaching, existing goodwill between academics and support staff and between academics in different departments may erode aspects of collegiality (*the organisational glue)*, a characteristic traditionally associated with university cultures.

In terms of *strategic emphasis*, a theme resonating across all three universities was the extent of restructuring which was contributing towards a sense of change fatigue

manifested by instability in existing structures relationships and group memberships resulting from a succession of strategic re-alignments in response to external forces, for instance government imperatives such as PDP, demands for universities to increase third income streams, increasing inputs from international students and continual developments in the potential of new IT systems. However feelings on these matters were less intense from members of the Ancient university (A) than from members of the Civic (C) and Modern institution (D). The view of Van Maanen and Barley (1985) that cultures are neither fixed nor binding was evident in all three institutions, but was considered more part of everyday life in a Modern university than in the other two. Major restructuring of faculties, committees, and departments was or had recently taken place in all three institutions with varying reactions from staff. In the Ancient university this restructuring was perceived in a positive light by all four groups interviewed; in the Civic university it was perceived in a positive way except by one of the academic groups; in the Modern university it was perceived in a negative light by all groups other than the representative of senior management. In the Civic (C) and Modern (D) universities, restructuring in general was believed to be about regaining control and the centralising of decision making at the university centre with particular consequences for aspects of culture, described by one academic as the 'new culture of managerialism'[93]. Given the current level of committees, procedures and systems in all three university types, a view was emerging of continual change in structures, which was perceived as contributing towards a feeling of resistance to any new initiatives, including pedagogical initiative such as self- and peer-assessment.

Where the generalisability of these propositions to other Ancient, Civic or Modern universities is concerned, the level of certainty associated with these inferences must remain reasonably low, given the small and relatively narrow focus of the population investigated. Given the complex nature of universities and culture and their relationship to pedagogical innovation, these results (in a comparatively unexplored field) can only be regarded as indicative. Nevertheless the approach devised can pave the way for a broader investigation into other cognate areas and within different schools and faculties in order to achieve a broader perspective and a higher level of

[93] Managerialisms three main aims are defined as economy, efficiency and effectiveness (Becher and Trowler, 2001)

confidence. And so to what extent do these cultural profiles inform us of academics' propensity to innovate in areas like self- and peer-assessment? This question will be explored in the following section.

5.4. Features of Innovative Behaviour across Groups and Universities

5.4.1 Analysis and Discussion of Case Studies

Persuasive arguments reported in the literature pointed to organisational culture as a noteworthy factor in influencing the adaptive capacity of the university to respond to innovation change (Obenchain *et al.*, 2002). The focus of this study was to critically assess the associative and discriminatory features of innovative behaviours that surfaced between the different staff groups within each university and across the different university types in order to identify differences and similarities. The approach adopted here by the researcher was to judge how well the reported academics' espoused positions and recounted stories corresponded with actual experiences in their work setting and presenting good reasons for subsequent actions, based upon history, culture, and their accounts of experiences, thus reflecting the strength of the culture (Smart and St. John, 1996) and the degree of alignment between policy as aspiration and policy in practice.

At the individual level of analysis, each of the representatives of university senior management interviewed believed pedagogical innovation was being undertaken in their institution, and academics had the necessary freedom to undertake this. However, a surprising finding noted was, that only one informant in institution A (Ancient) could provide evidence of recognition and reward for such activity. In terms of staff innovating in self- and peer-assessment, it was stressed by the representative of senior management at the Modern (D) university that some measure of control would be required by way of an objective measure, and in the case of the Ancient (A) university, by supervision from an experienced member of staff. Yet both these proposed measures have the potential to influence, in a supportive or inhibiting way, the attitudes and activity of potential innovators. In the case of the academic staff at the Civic university there was a perception of local pedagogical innovations going on, but five out of the six academics new almost nothing about

PDP[94] and none of the six demonstrated any knowledge or experience of self- and peer-assessment taking place or having taken place. Surprisingly, there appeared to be reluctance to use either technique because of a belief in the inability of students to competently undertake this form of exercise (four participants believed the problem was students rating each other very highly) coupled with a perceived belief (two participants) that self- and peer-assessment are unreliable techniques and "there's plenty of research evidence that peer review just doesn't operate, that it can be subverted very easily" (C/A/M/F2/Ln 1332-1333).

In spite of claims made by the member of senior management, and documented in prospectuses and other university documents, advocating the importance placed on learning and teaching innovation there was no sense of freedom to innovate in terms of key innovation dimensions S1, G (goal emphasis) and S2 M (means emphasis) Furthermore, there was no strong evidence from any of the universities studied, either within the artefacts studied or within the interviews conducted, to suggest that learning and teaching innovation is strongly pursued (innovative dimension S1, G) either as a career ambition or as an important role of being an academic. To be promoted to professor based upon outstanding learning and teaching credentials, was perceived by several of these academics and the support staff interviewed to be of inferior status to that of professor based upon research credentials. The position of Teaching Fellow had been recently introduced in all three universities to encourage a promotion route based upon teaching and learning. However, most academics interviewed perceived this as a sideways move at best – a view expressed by a number of support staff. Consequently very few members interviewed could quote instances of persons in this category - innovation dimension I3, LR. Consequently this data seems to suggest there appears to be little in the way of inducements, motivation or encouragement for aspiring pedagogical innovators and until this situation is changed there is not likely to be much innovation done with any enthusiasm. Moreover, this lack of incentivisation (I3, LR) may be a contributory inhibiting factor holding back academics from doing anything inherently risky in pedagogical innovation for which there is very low reward attached.

[94] PDP – personal development planning. A national quality enhancement initiative.

We also saw from the interview data for institution A (Ancient) some reported evidence from all three focus groups that conflicted with the accounted rendered by the representative of senior management, the latter indicating broad support for pedagogical innovation in areas such as self- and peer-assessment; yet evidence from two focus groups indicated that innovations could be blocked at a number of stages from the department upwards. The university may be broadly supportive of innovation in this area of pedagogy; however, attitudes from the individual academics interviewed consider this example of innovation to be too risky for most of them to experiment in and with. This conclusion was mirrored in each of the other two university categories (C and D). Thus, the features of innovative behaviour that surfaced most frequently and strongly in the case of those individuals who innovated across most of the academic groups across all three universities appeared to reflect people's place and roles in the structures and systems of the universities. For example, innovative behaviour is less likely to be obstructed if the innovator is a professor or other senior academic rather than a lecturer.

5.4.2 Observations from Case Study Findings

The case study interviews, combined with the organisational culture assessment instrument (OCAI) and university prospectuses (artefacts), provided a mechanism for categorising organisational culture forms within each university and revealing the underlying assumptions and attitudes that govern university staffs' individual and collective behaviour. Thus the researcher not only gained insight into the richness and complexity of pedagogical innovation within a university context but also arrived at a judgement on the adaptive and innovative capacity of institutions and practitioners and related this to practitioners' propensity to undertake pedagogical innovation. It is acknowledged, however, that one danger of undertaking qualitative research in large organisations like universities is that the responses provided and behaviour observed may not be fully representative. To verify the reliability of the inferences drawn, responses and behaviours were triangulated with each university's undergraduate prospectus to substantiate patterns of values and thus assess the persuasiveness of the observations drawn from the interviews which are listed below:

1. When all interviewees from the academic groups were asked to nominate a hero in their eyes, not one was mentioned for outstanding or innovative teaching.
2. When asked what was necessary in order to 'get on' in their university, the unanimous response across all three institutions, as perceived by the academic and support staff interviewees, was research.
3. Across the Civic and Modern universities, there was an increasing sense of the structural partition between academics and support staff which show early signs of widening in the light of the various restructurings taking place – with the resultant implications for a potential strengthening of subcultures.
4. The view across the academic groups in each institution was that innovation initiatives appear to be initiated from top to bottom and manifest through policy documents and implementation plans.
5. Several senior academics at professorial level reported a number of disadvantages frequently cited from the literature as reasons for personally resisting adopting any variant of peer-assessment.

These points will form part of the overall conclusions section in chapter Six.

5.4.3 Analysis and Discussion of On-line (S&PA) Survey Findings

This section presents a discussion of findings from the electronic survey on self- and peer-assessment and considers what we have learned from these data about pedagogical innovation within Scottish university business schools.

The review of the literature signalled a puzzling picture of innovative assessment practice, within the cognate areas selected, some researchers proclaiming highly acceptable levels of adoption of innovative techniques (Hounsell, 2008), others indicating only limited use (Hannan *et al.*, 2000; Race, 2001). Overall the pattern emerging from the electronic survey within the present study indicated considerable use of the techniques with the highest level of responses being reported within the Ancient and Modern universities. There were a number of positive (ratings of the techniques) experiences reported of both self- and peer-assessment, confirming a number of the reported advantages of both techniques which featured widely in the

literature on innovative initiatives over the last two decades (Boud and Falchikov (1995); Falchikov (2005); Topping (1998) and yet surprisingly rated sparingly in a substantive work by Hannan *et al.* (2000). The evidence from the interviews, however, was largely contradictory of the electronic survey findings in that few academics reported any noteworthy experiences (past or present) of using either technique. Indeed, many reported serious reservations about the adoption of peer assessment. This contradiction in the finding remains a puzzle still to be resolved but it is acknowledged that some academics may offer plausible reservations against trying innovative assessment techniques which are more linked to their reluctance to stray from practices they are comfortable with, and which may require investment in time to learn about, or may distract them from their own personal agendas.

It was evident from the literature reviewed that self- and peer-assessment have a number of apparent disadvantages for university academics, including lack of transparency (Rust *et al.*, 2003), being time-consuming, a distraction from research, complex to administer and fraught with operational complexities (Taras, 2002; Fry, 1990). In spite of these, the survey results from the present study are encouraging in that half the respondents reported having adopted (and continuing to use) either self or peer-assessment (or both) and rate the technique(s) highly. However, almost none of the respondents would use either technique to completely replace the academic as sole judge of student achievement. Of those who have not used either technique a significant proportion would be prepared to do so, but predominately for low-stakes (typically) formative purposes. A noteworthy finding from this research therefore, which is largely unreported in the literature indicates that both self- and peer-assessment received very favourable ratings from those academics who had used or/and continue to use the techniques. Although both techniques featured widely in the literature, no evidence was uncovered which detailed support for this finding. In spite of these positive ratings from the e-survey, opinions from those academics interviewed in the focus groups were much less positive about them as assessment techniques, with very few participants admitting to having used peer-assessment.

Another emerging theme identified from the e-survey research confirmed that both self-and peer-assessment are used across the broad range of undergraduate and

postgraduate education with the highest instances of both techniques being reported at level 3 undergraduate and Masters Level. One potential explanation for this may be an inherent reluctance by academics to expose first and second year students to what might be perceived as novel or radical assessment forms. Should this explanation be deemed plausible and on the assumption that fourth year would be considered too risky for experimentation in new forms of assessment for fear of implications for students' Honours classifications, then the data would support this proposition. An alternative explanation may be that in many universities first and second year classes are taught by post graduate students, part-time members of staff or staff – most relatively new to teaching - who may feel insecure in using these forms of assessment or about experimenting in what might be perceived as "high risk" assessment. Again the literature here is sparse and these findings represent a contribution to this relatively uncharted area.

A third emerging theme from these data concerned the very low reported use for the techniques at professional level. While the use of self- and peer-assessment at professional level does not feature widely in the literature, it likewise does not feature widely in this survey. One explanation for this may be the veiled influence professional bodies can exert on university assessment regimes; for example, accounting professions can require that student coursework can contribute no more than 20% of a student's final grade and that the balance of assessment be an end-test. An alternative explanation may be that certain academics who teach on professional courses have a very traditional view on high-stakes assessment systems like self- and peer-assessment, particularly where used for summative grading purposes.

These findings confirmed what the earlier literature reported (Topping, 1998) on where self- and peer-assessment techniques were being applied, viz. with group work, projects and oral presentations being the most commonly adopted areas. A strikingly surprising finding concerned the very low reported use within numerical analysis. Yet again this may be a reflection of an ultra-conservative approach to assessment taken by this group of academics or the influence of professional bodies. All three groups of accounting academics interviewed indicated a distinctive reluctance to adopting peer-assessment, especially for grading purposes whilst only

one group of management academics indicated a similar level of resistance to peer-assessment for the same purpose.

Across all three contrasting types of university very few survey respondents reported that they would sanction the student assessor's mark in self or peer assessment counting towards the assessees' overall final grade. These results suggest that there is still a perception by some academics of either a strongly held traditional attitude towards the nature of teacher/student relationships or a fear of reprisals from students, colleagues or management were they to embark on some innovative assessment system. In support of the first proposition, one professor of accounting education indicated she was very reluctant to let students peer-assess whilst another management academic reported she did not believe students had the capability to undertake peer-assessment with any degree of reliability. The representative of senior management of the modern university reported she was in favour of students assessing each other, but added the caveat that this was conditional on having: "some objective independent measure of student outcomes, at the moment because of the way the culture is…", (M/M/O/F/Ln 690-691)

5.4.4 Observations on the On-line (S&PA) Survey Findings

The findings from the e-survey on self- and peer-assessment, when triangulated with the interview transcripts demonstrates a complex, and in places a contradictory picture with regard to the use of both self- and peer-assessment. However given the relatively small sample of academics interviewed, the evidence from the e-survey provides greater weight in support of the Scottish picture which indicates that approximately 50% of academics within these two cognate areas have had some engagement with either technique. However, the techniques are being applied in a cautious way by limiting use to undergraduate Level 3 and Masters Level and predominately for assessing traditional outputs such as group work, oral presentation and case studies. Little use is being made at professional level and in numerical analysis. The reported rationale for using such techniques is predominately student-centred although the significance of staff self-interests should not be underestimated.

5.5 Chapter Summary

Chapter Five discussed the findings of the present study in relation to the theoretical and empirical foundations analysed in chapter Two and the research questions derived therefrom. Irrespective of university category (Ancient etc.) organisational culture was conceptualised as different things by the groups interviewed within each category, and this was reflected in the cultural profiles extracted from the data. These cultures were variously reported in organisational sagas, heroes, symbols, rituals, stories and legends which prolong and strengthen key values and norms of behaviour. Rules, procedures and policies (internal and external) were also perceived as elements which were all seen as components of an institutions organisational culture. People's assumptions about these rules, procedures and policies to some extent shape their thinking, behaviour and work ethos and practices.

Furthermore, a certain model of organisational culture, a conceptual adaptation of Schein's (1984) model, 4-culture model, does discriminate between cultural types (Clan etc.) within a university setting in terms of the data collected, and therefore had applicability within that context. This adapted 4-culture model therefore can be used to help us understand how, in general, universities within Scotland work and when used with the five key dimensions for assessing innovations framework (Innovative goals, Means, Rewards, Infrastructure, Socioemotional Support – see Table 2.5) can be used for exploring connections between culture and self- and peer-assessment. However, given the relative absence of adhocracy within the final profiles, the applicability of this cultural type within the model remains contested.

Additionally, these collective data begin to suggest that an association between university culture, as defined in this thesis, and its capacity to support or inhibit pedagogical innovation may be worthy of more extensive research in order to determine the extent of this influence on other dimensions of pedagogical innovation.

Overall three institutions the adhocracy cultural type played relatively minor role in the profiling of each university. This was a surprising finding given it appeared as one of the two main cultural types identified by Smart and St. John (1996) with a tendency to encourage innovative behaviour.

Finally, the collective data from this study begins to show that, at least in terms of the universities and cognate areas looked at, that there is no homogenous view of what the culture is within each institution. Different people (most notable between the representative of senior management and the other groupings) within the same organisation have characteristically different notions of what the culture is within their university and their conception of that culture may not fall neatly within a single type from this 4-culture model; the overall culture may be an overall composite of several types. We cannot simply say that university A is this type of culture, because we have these different groups of interviewees and they proceed, we assume, according to those differences.

However, in reaching this interim position it is acknowledged that in all human situations people have complex motives for saying and doing things, and there are no clear answers to almost anything. In higher education as in many other spheres, people are trying to do several things simultaneously and have different priorities. This of itself makes life very complicated and the determination of truth highly elusive.

In the final chapter, concentration will focus upon summarising the key contributions and findings, concluding how these relate to the main aim and objectives of the thesis, combining theoretical and practical propositions derived from the study, and finally identifying limitations from the study and making recommendations for future research.

CHAPTER 6: CONCLUSIONS AND RECOMMENDATIONS

6.1 Introduction

The study of a university's cultural influence on pedagogical innovation is a recent development within the contemporary culture discourse. In using a relatively novel methodological approach, this thesis offers a valuable and distinctive contribution to that corpus of knowledge on the nature and extent of this influence. The thesis has attempted to advance the debate on the nature and scope of university culture as an influential factor in supporting or inhibiting innovation in assessment practice.

The thesis also set out to advance knowledge of the current incidence and threshold of self- and peer-assessment as an example of pedagogical innovation by investigating, first, the trends and usage patterns of self- and peer-assessment within Scottish universities; second, academics' experiences and perceptions of these techniques and general attitude towards innovation in pedagogy; third, the influence of university cultural factors on pedagogical innovation; finally, to reflect on the implications of these findings for policy makers and practitioners in contemporary higher education. The following sections review the conclusions reached on these areas as reflected in the research questions outlined in Chapter One and make recommendations on future research regarding culture and pedagogical innovation.

The findings from this study generally support the opportunities available for pedagogical innovation found in the leading literature by Topping, (1998) and Falchikov, (1995). However, this is the first time the data has been collected on these specific research questions within a Scottish context. The current findings advance previous research in some areas (e.g. factors influencing/inhibiting adoption of self- and peer-assessment) and contributes new knowledge in others. In the latter case, for example, the breadth of questions in the e-survey, and the answers reported, add new depth on the use of these techniques within business cognate areas. There was also encouraging evidence of adoption of both techniques across the fourteen institutions electronically surveyed which conflicted markedly with the sparse reported use from the focus group interviewees. One area which had not been raised in the previous literature concerned usage patterns across contrasting cognate areas. To some extent, trends and usage patterns between the two cognate areas chosen revealed no significant differences across the management and accounting academic

groups investigated. One can only speculate as to the extent to which this picture is representative across the broad spectrum of cognate areas.

The features of innovative (or non-innovative) behaviour that surfaced most frequently and strongly, resulted in views which strikingly reflected people's place (academic level) and roles (professor, teaching fellow etc.) in the structures of the universities. Beyond the level of the individual, no departmental, faculty or university innovation in self- and peer-assessment was specifically identified by any of the interviewees. This proved a surprising finding given the strong reference to innovation in each institution's Learning and Teaching Strategy and undergraduate prospectus.

6.2 Conclusions on Conceptual and Empirical Issues

6.2.1 The Nature of University Culture

The definition of university culture adopted for this thesis ("The pattern of basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration..." Schein, 1984:3) worked well in identifying cultural types and providing rich insights into aspects of university life. Thus to some extent, the multi-method approach adopted within Phase II was justified as a helpful and implementable one. In terms of its comprehensiveness as a cultural diagnostic tool, however, this approach was found wanting in catering for the more specific aspect of an academic's remit in representing, for example research. As the OCAI findings show, it also proved less useful in identifying [any] unitary cultures, which in any case may not be an identifiable feature of Scottish universities. Patterns of assumptions were extracted and brought together from the collective data sources and formed the basis for developing cultural profiles for each institution. This approach (adopted for this study) links well with the views of Pettigrew (1979) and Alvesson (1991) who argue it is better to consider culture as a coherent group of concepts for exploring the nature and roles of symbolism, language, beliefs and myths rather than consider culture as a unitary concept. In the author's view, this approach carries great weight and offers rich insight into practices and views on policy at the macro and micro level. It is

acknowledged, however, that inferences drawn from these are provisional and contested. Consequently, the dimensions and variables used to explore the phenomena of culture and innovation, though generalisable to similar settings, may yield competing findings and conclusions.

The findings establish that firstly, organisational culture may be studied within a university context, and as a result of this thesis, would suggest we have a better picture of organisational culture within the Scottish university sector. This picture was achieved through addressing the theoretical gaps identified from the literature review which represented the foundations for examining academic members' propensity to undertake pedagogical innovation. The data begins to show that, at least in terms of the universities looked at, there is no homogenous view of what the culture is within each institution and that alternative culture types co-exist. Different people within the same organisation had characteristically different perceptions of what the culture is within their university, and that this culture may not fall neatly within a single type as the paradigmatic view of culture in the organisational theory literature suggests, but may be some kind of mixture (configuration) of several forms. These perceptions have the capability to influence academics' propensity to innovate in pedagogy. Due to the frank nature of the views expressed by interviewees, it would seem unreasonable to believe that views expressed were anything other than their reflective accounts and measured beliefs of the true state of affairs as they see it. However, stories and experiences reported can reflect and take on different interpretations of an individual's own feelings. The overall conflation of artefacts, values and basic assumptions may look like chaos to the casual outsider when confronted with a picture of conflicting activities and priorities of the different groups of interviewees. A more seasoned researcher looking through different conceptual lenses drawn out of different organisational frameworks may perceive different and possibly more subtle patterns, order and stability; in essence a different picture of organisational culture within university life.

Secondly, that the author's theoretically derived view of organisational culture [the model], a conceptual adaptation of Schein's (1984) model and other recent developments and research from the literature, appears to have applicability within

the Scottish university sector in terms of the data collected. This model may assist in determining cultural variants (of the types used in this model) within a contemporary Scottish university context in a way that is consistent with the paradigmatic cultural types from the literature. Furthermore, the model may discriminate among alternative organisational culture types and when used in conjunction with other data collection methods such as the ones used in this thesis, may help our understanding of why, how and in what circumstances, certain policies and strategies in universities work in terms of their characteristics and organisational culture differences. Nonetheless a big question which remains unanswered concerns the degree to which researchers in this area can take data findings, frameworks (such as the CVF) and models (such as the OCAI) from business and commerce and apply them unaltered to a university context, given the distinctive nature of universities and the ambiguous role of the academic in this setting. Should, for example, a comprehensive model for assessing organisational culture within universities incorporate the concepts of research and teaching, as they are the backbone of university life and underpin significant time and effort from academics?

Thirdly, the picture surfacing from the aggregated evidence (cultural questionnaire responses, prospecti and interview transcripts) offers some weight to further exploration of a relationship between those cultural types (Clan etc.) and the innovative activity of the two academic communities surveyed in areas like self- and peer-assessment. This may be justifiable, because when measured against the five key dimensions for assessing innovations (Table 2.5), academics in all three categories of Scottish institution showed no more evidence of being pedagogically innovative when contrasted with each other. It proved hard to characterise in a definitive and clear-cut way the organisational culture of the three universities surveyed. Indeed, all three furnished evidence of similar external pressures that seemed to work against, rather than for, pedagogical innovation, and it might be argued that these external pressures were more powerful influences in this respect than were differences in cultural types. It would appear that the influence of external environmental factors such as competition for students is raising levels of pressure and universities may have to reappraise and adjust existing organisational structures to address these pressures. Consequently, some academic interviewees indicated

during interviews that they would not engage in pedagogical innovation because of lack of time, competing demands, lack of peer support and lack of institutional recognition and reward. However it is also acknowledged on this point that in all human situations people have complex motives for saying and doing things. In higher education, as in many other strands of life, energetic and single-minded scholars are trying to do several things simultaneously, and have different personal priorities which may be incongruous with those of their institution's demands. The investigation and determination of truth at best may be hampered by a number of personal and organisational complexities and is thus highly contested, uncertain and elusive. It was therefore concluded that where energetic and determined scholars assume that careers are predicated on a research track record rather than teaching, pedagogy and innovation and that this view is re-enforced by appointments to professorial positions, then research, not teaching, will become the nucleus absorbed in the culture of the institution.

Thus, innovative practice within teaching, learning and assessment may be influenced to some extent by the presence or absence of a number of key elements: firstly the pattern of organisational behaviour embraced in the organisational culture as reflected by variables such as authority and power, personal discretion; secondly a number of innovative dimensions (see Table 2.5) influencing change practice resulting from the impact of forces supporting and opposing change; and finally general strategies for effecting change in these key dimension. Undertaking radical innovation, such as peer assessment for grading purposes, may require a strategy which addresses all three elements and demands that academics reflect wisely before engaging in such high-stakes activity.

6.3 Methodology

6.3.1 Integrated research approach

When trying to assess a complex and contested phenomenon such as organisational culture, one difficulty was identifying an ideal tool which would measure the essential cultural and innovation dimensions required by the researcher. The literature revealed that the conventional approach to the study and measurement of organisational culture is carried out either by way of quantitative (which some

experts would argue measures climate) or qualitative means (which other experts argue measures the values and assumptions shared by organisational members). One danger of quantitative research however alluded to by Kezar and Eckel, (2002) Delobbe *et al.* (2002) is that even though it can capture activities undertaken and behaviours being enacted from a large representation of the sample frame and hence organisational life, the data revealed may not allow for the detailed examination of everyday working practices nor produce the detailed insights into those "why" aspects of life required by researchers to assess and change cultures. A danger of qualitative research, on the other hand, is that with a large organisation such as a university, the dialogue involved and dynamics observed of the sampled participants are complex and may not be fully representative. In this thesis, for example, the qualitative data collected with regard to self- and peer-assessment in these three universities was at variance with the e-survey data. It showed very little evidence of and confidence in peer-assessment in particular whilst the e-survey showed relatively higher levels of activity and conviction. Overall however, from a methodological perspective, we may conclude that the dual level of analysis adopted, successfully offered a multi-lens perspective which is more suited to the understanding of complex organisational phenomena such as culture. Furthermore, the mixed methods approach adopted in this thesis combining questionnaire, interviews and artefact analysis worked pretty well in spite of current researchers in this field still adopting a predominately qualitative or quantitative technique. In addition, the adapted OCAI questionnaire proved a versatile and easy to apply tool for drawing out a preliminary picture of culture types, subcultures and strength of culture. However, the limited sample size restricts confidence on the extent of cultural penetration (within cognate areas) dispersion (across cognate areas) and length of time these types were in evidence. Neither was the OCAI particularly useful in isolating those aspects of interviewee perception which carried most or least weight in influencing their values, attitudes and beliefs. All six dimensions were considered of equal value yet some of the views reported from the focus groups suggested a different prominence across some of these. The findings show, for example, "Organisational Glue" to have a limited prominence particularly within all three academic groups. Irrespective of this discriminatory limitation of the OCAI tool, the general approach developed for this research (Fig 2.3) represents a new method for

studying the role of university culture in supporting/inhibiting pedagogical innovation. How important this approach is considered, may be gauged by assessing the identified difference and similarities across university types – all had policies alluding to pedagogical innovation (similarity), the difference, however, was in practice (the Ancient and Modern university appeared modestly apart from the Civic university attitudinally in terms of self- and peer-assessment). Consequently one implication offered here is that if policy makers wish to change innovative practice, the five key innovative dimensions outlined in Table 2.5 may provide one of a number of mechanisms for exploring and supporting change

6.3.2 Sampling and Analytical Issues

From a methodological perspective the dual level of analysis was also distinctive in focusing upon a range of levels (senior management, academics and support staff) within contrasting types of institution (Ancient, Civic and Modern) using purposive sampling. This allowed espoused values in each type of institution to be contrasted with actual practices to help determine innovative differences and similarities, and whether one type of institution had a stronger alignment between the two – an indicative measure of a strong culture. The numbers of individuals needed to survey and determine the culture of an organisation will depend upon the nature and scope of the study, the time available and the resources available. Although the researcher originally set out to assess five case studies (two Ancient, two Modern and one Civic university) the volume of data collected from all twenty interviews (four per institution) made the analysis prohibitive given the constraints of time and word count, and three institutions were therefore chosen.

6.3.3 Unit of Analysis

In view of the limiting factors of time and space, it was considered, on reflection, a good idea to focus on two cognate areas. A more ambitious number of cognate areas would have been unmanageable but nevertheless it is acknowledged as a limitation that only two cognate areas were studied. However, these two areas are represented in many universities and were chosen because they have relatively high student enrolments nationally and are both significant subject areas within many institutions. Defining the unit of analysis at group level (with the exception of the representative

of senior management) was also deemed a valid and prudent measure, as organisational culture is by and large defined as a collective phenomenon (Schein, 1984); consequently the data should be derived at the group level. Future researchers could investigate and develop contrasting and complementary group data collection methods such as *creative dialogue* (Beeby and Simpson, 2008) or co-operative inquiry (Reason, 1998).

The dual level, multi-lens approach developed in this thesis may well be generalisable to a range of contexts outwith a university setting. For example, it may be applicable to other public sector organisations, or to assess other dimensions of business schools that are operating well and those that are not. However the specific approach finally adopted depends on the researcher's adopted stance on the nature of the construct organisational culture, the intended plan for the results and the usual constraints of time and resources.

6.4 Practical Policy Implications

The findings from this context-based study appear to indicate that the overall approach developed has merit for national and institutional policy makers to the extent that there were indications of each of four cultural types (Clan etc.) across the three institutions. As the findings show (Figs 4.7; 4.9; 4.11) and it seems reasonable to infer, at least three (and arguably, from an institutional perspective, all four) of these cultural types appear relevant as useful dimensions in exploring universities' cultures. A challenge for future researchers may be to discover from a wider sample, to what extent this position, from an OCAI stance, is similar across the rest of the Scottish (and UK) sectors.

Even with clearly documented statements of intent for pedagogical innovation from the undergraduate prospectuses, supported by corresponding oral reports from all three representatives of senior management, all six academic groups from the three universities furnished evidence of similar external pressures that seemed to inhibit rather than support pedagogical innovation. The influences of external environmental factors such as competition for students is raising levels of pressure, and universities (see for example section 4.2.2.3.1) are having to reappraise and adjust existing

organisational structures to address these pressures. It remains a moot point and an area for future research, as to whether these external pressures constitute more powerful influences in supporting/inhibiting than were the differences in cultural types.

Thus the findings from this study begins to suggest that pedagogical innovation is perceived as a demanding and risky activity and where there is no recognition and reward for accomplishment, there is little point in experimenting. Consequently, if university senior managers do not understand the climate of innovation within their institution, then their efforts to support innovative activity may fall at the first fence if staff decide the effort/reward ratio is neural or negative. Schein (1995) argues that the management of a culture of innovation is seen primarily as the responsibility of university leaders, and that their explicit (not espoused) behaviours shape the cultural direction of the institution. Thus academics will be influenced (he argues) by the behaviours of what leaders focus on, how they define success, the criteria for allocating resources and rewards and the qualities and qualifications of those they appoint and promote. As Maharg (2009) notes, 'Many institutions make impressive noises about being committed to teaching etc, but their recruitment patterns, staff profiles and conventional curricula often tell quite a different story'. The findings from this research begin to suggest the same claim may be directed at pedagogical innovation.

A number of other factors were also identified, which influence the adaptive and innovative behaviour of academics, including personal challenge; freedom; resources; supervisory encouragement and organisational support. Without realistic levels of freedom and organisational support few academics will contemplate pedagogical innovation in assessment areas like self- and peer-assessment. However, a number of wider policy implications stand out; these are: the necessity for leaders to understand the relationship between espoused values within the context of pedagogical innovation and how these translate into changes in academic behaviour, academics in higher education institutions hold in high regard a set of norms and values which could be defined as "traditional", are rooted in and expressed through organisational practices such as rites, language, ceremonies etc.

One such value is academic freedom and attempts to control or restrain this through increased formalisation will, according to Hage and Aiken (1970 – cited in Van Vught) lower the rate of change. This raises questions for external and internal policy makers, Deans of Schools and leaders in learning and teaching. Firstly, those charged with leadership roles in universities should avoid the characteristics of strong bureaucratic cultures because these have been shown to severely hamper innovation, including pedagogical innovation.

Secondly, the current emphasis on the research assessment exercise[95] as a mechanism for allocating research funding and its veiled influence on university league tables has (confirmed by evidence from this research) a contributing influence on academic behaviour in pursuing institutional research targets to the detriment of innovation and concentration on pedagogical development.

6.5 Recommendation for future work

The combination of two complex phenomena such as organisational culture within universities and an area of pedagogical innovation such as self- and peer-assessment present a testing challenge for researchers because of the elusiveness of culture within a university context and the inherent caution by academics in regard to self- and peer-assessment. These conclusions have several implications for policy makers and practitioners alike.

First, how do university leaders and campus change agents develop a culture(s) which encourages, supports, recognises and rewards innovations in learning, teaching and assessment? It would appear from the results affirmed by this study, that there is little point in promoting policies for innovating in pedagogy unless academics feel and believe that their institution values and rewards such innovations.

Second, further research could be undertaken in this area on gauging how far can these data, findings and [author's re-conceptualised] model take us in theory development, given that they were originally developed for an industrial/commercial

[95] The **Research Excellence Framework** (**REF**) is the new system for assessing the quality of research in UK higher education institutions

context, and apply them wholesale to the university context when universities have been shown to be very different from business. Perhaps this assumption itself is worth exploring, as illustrated by one interviewee (section 4.2.2.3.1) who reported feeling increasing pressure to do (and know more about) many different things as well as teaching and research.

Third, how and in what ways do phenomena within organisational cultures, such as organisational structures, management and peer behaviours, influence how innovation and diversity in assessment practices is understood and enacted in specific organisations such as universities?

Finally, future research is needed into the ways university culture can facilitate academic resistance to change (understood in various ways) from diverse personnel or specific groups. For instance, in what ways are discourses of cultural diversity resisted by different groups in organisations and with what effects? How and in what specific ways do specific groups resist managerial control? What are the tensions and complementarities between cultural diversity and these (discursive) realms? In what ways do they influence work practices and how individuals make sense of themselves, their work and their relationships at work? For these and other demanding questions, this thesis provides a practical framework and model for ways universities can begin to address these questions through examination and reflection.

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APPENDICES

Appendix A:

Theoretical Framework for analysing Basic Assumptions about Organisational Culture: Adapted from Schein (1985: 128-135)

Dimension	Assumptions about:-	Features
1	**How the organisation perceives of itself**	Identity, role and mission. Environmental influences – political, technological etc.
2	**Organisational stance on truth**	Objective/subjective (identify strategic decisions and how conflict was resolved). Orientation towards time – past, present, future, length of cycles. Orientation towards space – use of it, rooms etc, appropriate. distance for relationships (formal etc) Friendships, outsiders etc
3	**Organisational stance on Human Nature (HN)**	Basic HN, humans as good or evil, lazy, self seeking, neutral, humans fixed at birth. Use stories of successful people, recruitment/promotion criteria, reward systems
4	**The Nature of Human Activity**	Proactive, reactive or harmonising (approaches for problem solving as in PDP, what was adopted? What assumptions were implicit in approaches adopted)
5	**The Nature of Human Relationships**	Defining the ultimate basis for structuring all human relationships (tradition, family, hierarchy) or Co laterality (group consensus/welfare) or Individuality (competition, individual rights and individual welfare) or organisational relationships – typologies based on power distribution (Autocracy, paternalism, consultation, participation, dele.g.ation, colle.g.iality) Involvement, how work is structured, How conflict resolved. Use recent decisions, examine organisational stories and legends; examine critical incidents. Look for themes in the decisions, stories, & events to identify assumptions.

Appendix B:

Types of Pedagogical Innovations (Hannan et al., 2000:7)

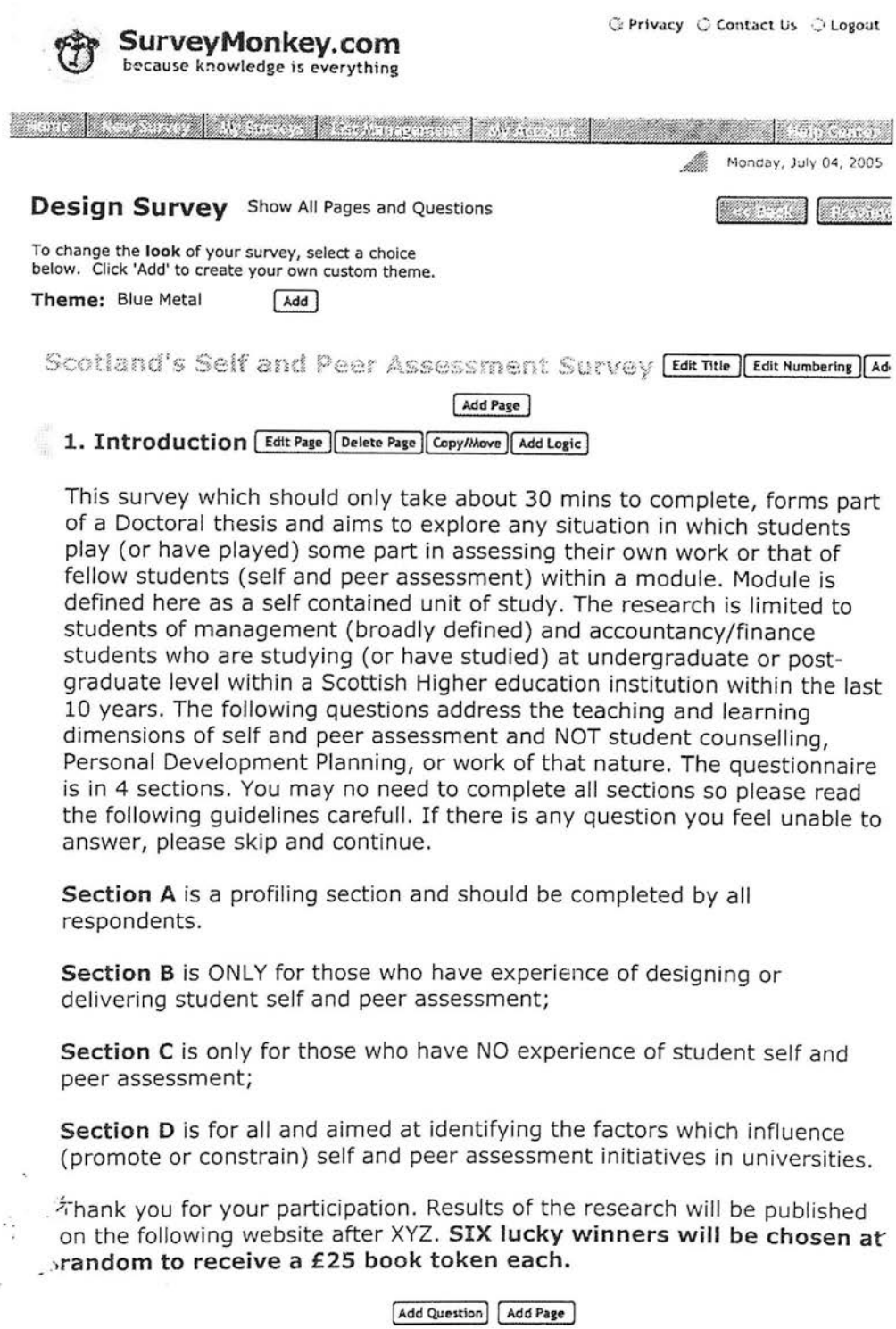
	Type of Innovation	Frequency
1	Making use of computers (Web, Internet, CAL, CBL,CMC)	77
2	Skills (personal, transferable, key, core, employability, communications, problem solving)	45
3	Team projects (cooperation and collaboration)	40
4	Student presentations (individual and group)	16
5	Interactive seminars or lectures	16
6	Work-based learning	16
7	Problem-based learning (PBL)	16
8	Resource-based learning (packages, booklets)	14
9	Distance learning or open learning	12
10	Peer-tutoring, mentoring, or assessment	9
11	Others (e.g. reflective practice, learning journals/portfolios,	18

Appendix C:

Analytical framework for deciphering organisation culture and determining adaptive and innovative capacity to undertake pedagogical innovation (Source: Author - adopted from Cameron and Quinn, 1999 and Schein, 1985)

Interviewees / Cultural Dimension	Senior management representative ; Management academics; Accountancy academics; Support staff - Basic Assumptions about:-				
	Relationship to Environment	**Nature of reality, time, space**	**Nature of Human Nature**	**Nature of Human Activity**	**Nature of Human Relationships**
Dominant Characteristics	Degree of teamwork and sense of belonging, level of creativity and dynamism, focuses on goals and competition, reliance upon other systems and emphasis on efficiency. Friendly, dynamic, goal oriented, control.	Objective/subjective	Proactive/ reactive in Innovation	Approach adopted to Self- & Peer-Assessment	Collegiate individuality
Organisational Leadership	Leadership style and approach permeating organisation. Mentor, facilitator, innovator, broker, producer, director, coordinator.	Orientation towards time/space; Innovation		Innovation	How Self- & Peer-Assessment organised
Management of Employees	How employees are treated, degree of consultation, participation, and consensus, working environment.	Role of mgt, consultation, participation	Humans as trustworthy	How treated & provided for	Hierarchy, group, Individual
Organisational Glue	Bonding mechanisms holding organisation together, e.g. cohesion and team work, loyalty and commitment, entrepreneurship and flexibility, rules/ policies, goal orientation and competitiveness.				Bonding mechanisms
Strategic Emphasis	Defines what organisational areas emphasise and drive the business strategy forward - External/ internal emphasis	Academics role; Structures, Response to policy like PDP		Teaching, Research, other	
Criteria of Success	Reward management, who or what get awarded and how success is defined. External/internal emphasis		Success stories		Promotion, self serving interests
Innovation in Self and Peer Assessment	Sense of the terms; marking; criteria setting, assessment setting	Innovation examples; Models of S & PA being used – now/past	Attitude within institution	Proactive/ Reactive; who gets on with it?	Hierarchy, family, power, incidents/stories

Appendix D: – Questionnaire ONE – E- survey of S&PA



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Monday, July 04, 2005

Design Survey Show All Pages and Questions

To change the **look** of your survey, select a choice below. Click 'Add' to create your own custom theme.

Theme: Blue Metal Add

Scotland's Self and Peer Assessment Survey Edit Title Edit Numbering Ad

Add Page

1. Introduction Edit Page Delete Page Copy/Move Add Logic

This survey which should only take about 30 mins to complete, forms part of a Doctoral thesis and aims to explore any situation in which students play (or have played) some part in assessing their own work or that of fellow students (self and peer assessment) within a module. Module is defined here as a self contained unit of study. The research is limited to students of management (broadly defined) and accountancy/finance students who are studying (or have studied) at undergraduate or post-graduate level within a Scottish Higher education institution within the last 10 years. The following questions address the teaching and learning dimensions of self and peer assessment and NOT student counselling, Personal Development Planning, or work of that nature. The questionnaire is in 4 sections. You may no need to complete all sections so please read the following guidelines carefull. If there is any question you feel unable to answer, please skip and continue.

Section A is a profiling section and should be completed by all respondents.

Section B is ONLY for those who have experience of designing or delivering student self and peer assessment;

Section C is only for those who have NO experience of student self and peer assessment;

Section D is for all and aimed at identifying the factors which influence (promote or constrain) self and peer assessment initiatives in universities.

Thank you for your participation. Results of the research will be published on the following website after XYZ. **SIX lucky winners will be chosen at random to receive a £25 book token each.**

Add Question Add Page

http://www.surveymonkey.com/SurveySummary.asp?SID=1129965&Rnd=0.4110681 04/07/2005

2. Research Ethics Edit Page | Delete Page | Copy/Move | Add Logic

Information provided by you will be kept in the strictest confidence and only used by Stephen Barr. The results of the survey will be anonymised and confidentiality of returns will be respected.

Add Question | Add Page

3. Definition Edit Page | Delete Page | Copy/Move | Add Logic

Add Question | Add Page

Edit | Delete | Copy/Move

1. For the purposes of this questionnaire, assessment is defined as marking, grading or defining assessment criteria. If you agree with this definition please proceed, otherwise add your own definition to the box below and proceed on that basis.

Add Question | Add Page

4. Section A - Profiling Edit Page | Delete Page | Copy/Move | Add Logic

All respondents please complete.

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

2. Indicate the category which best describes the institution you are currently employed by.

Pre 1965 1965-1992 Post 1992

Add Question | Add Page

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3. Indicate the department/division/cognate area you currently work in:-

- Accountancy/Finance
- Management
- Other (please specify)

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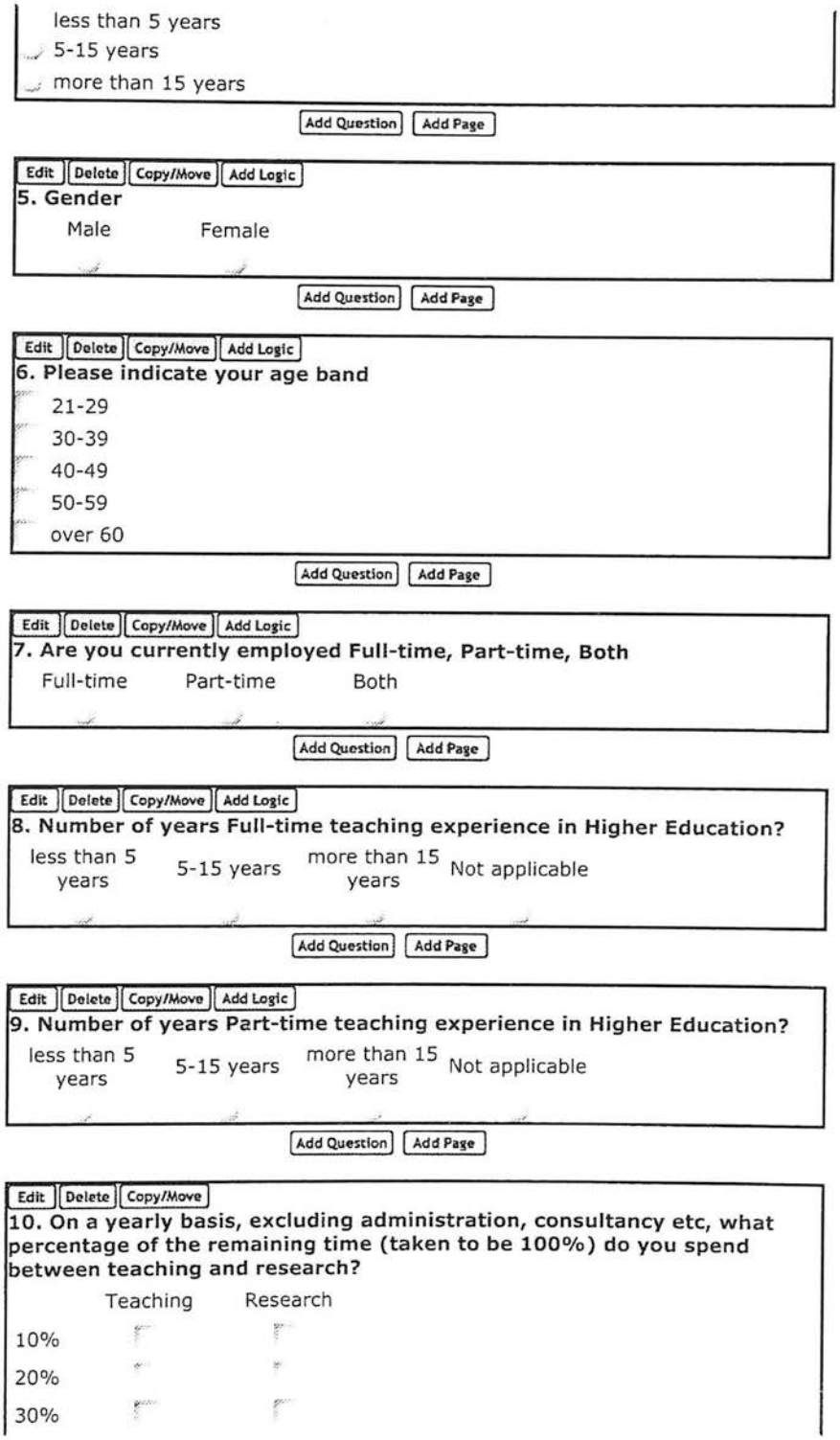
4. How many years have you worked in this department?


less than 5 years
5-15 years
more than 15 years
Add Question
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5. Gender
Male
Female
Add Question
Add Page
Edit
Delete
Copy/Move
Add Logic
6. Please indicate your age band
21-29
30-39
40-49
50-59
over 60
Add Question
Add Page
Edit
Delete
Copy/Move
Add Logic
7. Are you currently employed Full-time, Part-time, Both
Full-time
Part-time
Both
Add Question
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Add Logic
8. Number of years Full-time teaching experience in Higher Education?
less than 5 years
5-15 years
more than 15 years
Not applicable
Add Question
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9. Number of years Part-time teaching experience in Higher Education?
less than 5 years
5-15 years
more than 15 years
Not applicable
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10. On a yearly basis, excluding administration, consultancy etc, what percentage of the remaining time (taken to be 100%) do you spend between teaching and research?
Teaching
Research
10%
20%
30%

40%
50%
60%
70%
80%
90%
100%

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*** 11. Have you direct personal experience of being involved in any form of Student Self & Peer Assessment? If NO, please proceed directly to Section C, otherwise continue to Section B.**

Yes No

Add Question | Add Page

5. Section B

Edit Page | Delete Page | Copy/Move | Add Logic

In this section we are interested in exploring your personal experience(s) of Student Self and Peer Assessment (S&PA).

Add Question | Add Page

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12. What is/was the nature of that involvement?

- As an Initiator (you were chiefly responsible for initiating)
- As a Participant (part of a group whilst it was being implemented)
- Both
- Other (please specify)

Add Question | Add Page

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13. When did you first gain this experience of Self & Peer Assessment?

- Within the last 12 months?
- Within the last 5 years?
- More than 5 years ago?

Add Question | Add Page

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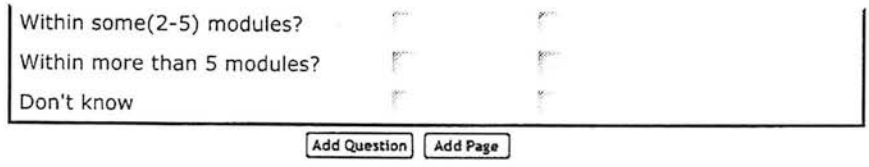
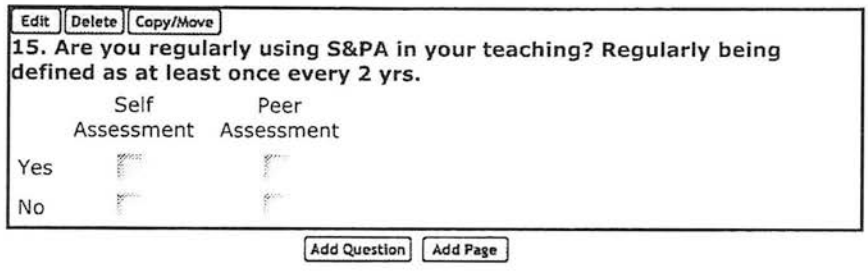
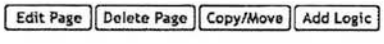
14. How widely is S&PA being used within your department?

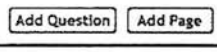
	By You	By your colleagues
Within a single module?		

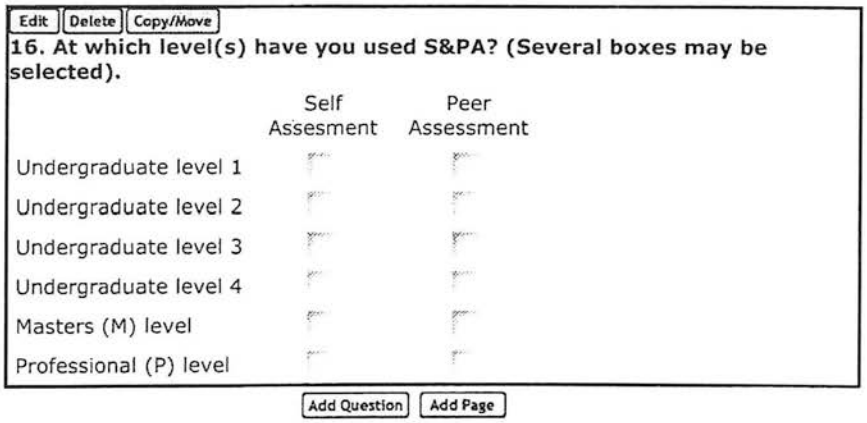


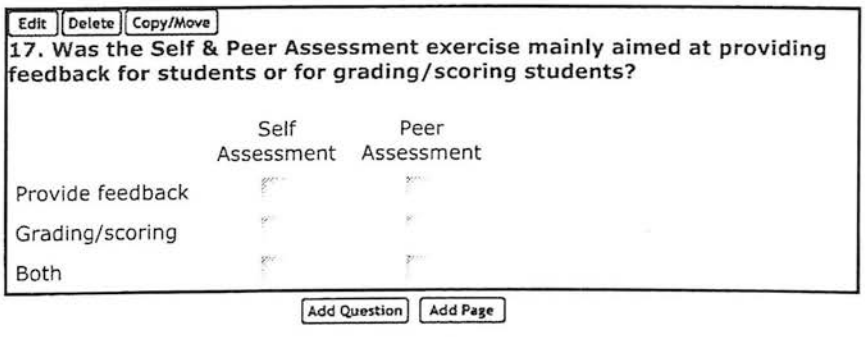


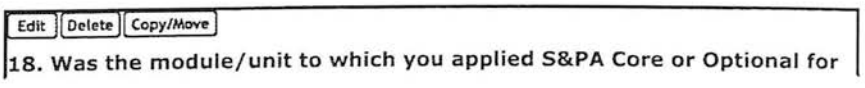


Application of Student Self and Peer Assessment.









the students? Click in the white box or the arrow to make a choice.

	Self Assessment	Peer Assessment
Undergraduate Level 1		
Undergraduate Level 2		
Undergraduate Level 3		
Undergraduate Level 4		
Masters Level		
Professional Level		

Add Question | Add Page

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19. Select the curriculum/subject area(s) to which you applied the Student Self & Peer Assessment:-

	Self Assessment	Peer Assessment
Numerical analysis		
Case studies		
Professional skills		
Group work		
Projects		
Writing/essay style		
Oral presentations		
Other (please specify below)		

Add Question | Add Page

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20. Other area(s) you have applied S&PA to that are not included in Q19 above.

Add Question | Add Page

Edit | Delete | Copy/Move

21. Have you applied S&PA to more than one subject area? Subject here means a module for example Taxation, Accounting etc

	Self Assessment	Peer Assessment
Not at all		
Within a few areas/ subjects		

Within a range of areas/subjects		
Across most areas/ subjects		
Within all areas/subjects		

Add Question | Add Page

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22. Based on your experiences, what is your general appraisal of S&PA as student assessment techniques. Use the following scale where 1 is poor and 7 is excellent.

	Self Assessment	Peer Assessment
1		
2		
3		
4		
5		
6		
7		

Add Question | Add Page

Edit | Delete | Copy/Move

23. Add a comment or two below if you wish to support your answer to Q22 in any way, other wise proceed to Q 24

Add Question | Add Page

Edit | Delete | Copy/Move

24. From the following list, choose your top 3 original motives for adopting Student Self Assessment? Choose THREE only.

	1st	2nd	3rd
Thought it might be an idea worth trying out.			
Thought it might be a good response to university policy.			
Thought it might save me (colleagues) time.			
Thought it might improve the quality of student work.			
Thought it might ease increasing volumes of marking.			
Thought it might lead to higher standards			

in the work the students produced.			
Thought it might lead to greater student commitment/responsibility.			
Thought it might improve the feedback to the students.			
Thought it might develop the student assessment skills.			
Thought it might give students an insight into the assessment process.			
Thought it might provide assessment variety.			
Thought it might improve student bonding.			
Thought it might boost student self-confidence.			
Thought it might encourage students to work more comfortably in group activities.			

Add Question | Add Page

Edit | Delete | Copy/Move

25. Prioritise your top 3 original motives for adopting Student Peer Assessment?

	1st	2nd	3rd
Thought it might be an idea worth trying out.			
Thought it might be a good response to university policy.			
Thought it might save me (colleagues) time.			
Thought it might improve the quality of student work.			
Thought it might ease increasing volumes of marking.			
Thought it might lead to higher standards in the work the students produced.			
Thought it might lead to greater student commitment/responsibility.			
Thought it might improve the feedback to the students.			
Thought it might develop the student assessment skills.			
Thought it might give students an insight into the assessment process.			
Thought it might provide assessment variety.			
Thought it might improve student bonding.			

Thought it might boost student self-confidence.			
Thought it might encourage students to work more comfortably in group activities.			

Add Question | Add Page

Edit | Delete | Copy/Move

26. With respect to Q26 above, where the student's assessment replaced the tutor's, did a lecturer/tutor assess samples of the students' marking?

	Self Assessment	Peer Assessment
Yes - in all cases		
Yes - in most cases		
Yes - in some cases		
It varied		
No		
Don't know		

Add Question | Add Page

Edit | Delete | Copy/Move

27. In cases where you adopted S&PA, did the student's assessment of themselves and/or each other completely replace or act as a supplement to your own assessment of the student's work? Click in the white box or the arrow to make a choice.

	Self Assessment	Peer Assessment
1		
2		
3		
4		
Masters		
Professional		

Add Question | Add Page

Edit | Delete | Copy/Move

28. Was participation in the Self & Peer Assessment exercise mandatory or voluntary for the students? Click in the white box or arrow to select your choice.

	Self Assessment	Peer Assessment
1		
2		
3		
4		
M		

P

Add Question | Add Page

Edit | Delete | Copy/Move

29. What marks were awarded to encourage student participation in the S&PA exercise. Select the closest option.

	Self Assessment	Peer Assessment
1		
2		
3		
4		
M		
P		

Add Question | Add Page

Edit | Delete | Copy/Move

30. To what extent did the mark on the S&PA exercise count towards the student's overall mark/grade? Click in the white box or arrow to select your choice.

	Self Assessment	Peer Assessment
1		
2		
3		
4		
M		
P		

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

31. How did the peer assessment operate?

- Unidirectional – student to student?
- Bi-directional - student to student and reciprocal?
- One-to-many – One student to many students?
- Many-to-one – more than one assessing one student?
- Other (please specify)

Add Question | Add Page

Edit | Delete | Copy/Move

32. In Peer Assessment, was the matching of student assessors to assessees:-

	Yes	No	Don't know	N/A
Undertaken by the tutor?				
Undertaken by students?				

Anonymous

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

33. Did the students adopt a system of anonymous marking in the Peer Assessment exercise(s)?

- All
- Most
- Some
- None
- N/A
- Other (please specify)

Add Question | Add Page

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34. Was the peer assessment conducted on-line? (on-line means means marking/grading assignment whilst viewing the assignment on-line)

- Yes
- No
- Don't know
- Not Applicable

Add Question | Add Page

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35. Which of the following (if any) featured in your briefing/preparation with the students.

- Clarified the objectives for S & PA.
- Discussed the details of what was expected from them.
- Discussed the appropriateness of S & PA for them.
- Reviewed the process with them after the assessment.
- Other (please specify)

Add Question | Add Page

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36. Did you provide any further instruction or training on S&PA for the students? If answer is "No" please proceed to Q39.

Yes No

Add Question | Add Page

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37. Was the instruction or training on S&PA mainly about the mechanics/process of the assessment exercise or about the meaning of marking and grading or did it cover both process and meaning?

- Procedure/mechanics
- Meaning behind marking

- Both
- Other (please specify)

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

38. How much time did you spend instructing/training the students on Self & Peer Assessment?

- Up to 30 mins
- 31 - 60 mins
- 1-2 hrs
- 2-5 hrs
- >5 hrs
- Other (please specify)

Add Question | Add Page

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39. What size of student cohort(s) have you assessed using Self & Peer Assessment?

	Self Assessment	Peer Assessment
1-19 students		
20-50 students		
51-100 students		
> 100 students		

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

40. Which of the following were addressed with your colleagues prior to implementing S&PA?

- Clarifying objectives of using S & PA
- Discuss your expectations for the exercise
- Discuss the acceptability of S&PA to colleagues
- Issues of Standards
- Issue of Ethics in terms of expectations on marking
- None of the above
- Other (please specify)

Add Question | Add Page

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41. Did you use or try any of the following to illustrate assessment criteria for students?

- Model answers
- Marking schedules

- Inventories
- Checklists
- Response grids
- None of the above
- Other (please specify)

Add Question | Add Page

Edit | Delete | Copy/Move

42. What was your sense of how the students reacted to this exercise – please write a few lines of explanation.

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

43. Which of the following most accurately reflects your use of S&PA:-

- Used it once and never again?
- Use it occasionally?
- Use it intermittently? (ie at least once every 2 years)
- Use it regularly? (ie at least once every year)
- Other (please specify)

Add Question | Add Page

Edit | Delete | Copy/Move

44. How did the students react to this form of assessment?

	Self Assessment	Peer Assessment
Refused to take part		
Had strong reservations		
Happy to take part but with some reservations		
Happy to take part with few reservations		
Accepted it willingly		
Different reactions from different students		

Add Question | Add Page

7. Section C Edit Page | Delete Page | Copy/Move | Add Logic

Only complete this section if you have NOT used Student Self/Peer Assessment

Add Question | Add Page

Edit | Delete | Copy/Move | Add Logic

45. What is your perception of S&PA?

- Don't know a lot about it
- In theory a good idea, but in practice complex to adopt
- From what I've heard of it, I'm keen to try it out.
- From what I've heard of it, I'm keen to avoid trying it.
- Other (please specify)

Add Question | Add Page

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46. Which models of S&PA would you be prepared to consider using?

(formative = feedback only, summative = contributing towards final mark/grade - where grade - A,B etc)

	Yes	No
self assessment (marking/grading) for formative purposes?		
self assessment (agreeing criteria) for formative purposes?		
self assessment (marking/grading) for summative purposes?		
peer assessment (marking/grading) for formative purposes?		
peer assessment (agreeing criteria) for formative purposes?		
peer assessment (marking/grading) for summative purposes?		
None of the above		
Don't know		

Add Question | Add Page

Edit | Delete | Copy/Move

47. In S&PA, what is the maximum percentage you would accept in contributing towards the student's overall (summative) module/unit mark?

	Self Assessment	Peer Assessment
0%		
5%		
10%		
25%		
50%		
75%		

100%		
Don't know		

Add Question | Add Page

8. Section D - It's almost over - All to complete and you're done. Edit

Factors which promote/inhibit Self and Peer Assessment Initiatives

Add Question | Add Page

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48. Which of the following best sums up your main objections/ reservations to implementing S&PA. Please RATE/SCALE as follows:-
Major Obstacle or
Secondary consideration

	Major Obstacle	Secondary Consideration
Valuing traditional forms of assessment.		
Too time consuming in distracting from personal research.		
Not knowing what (assessment approach) really works.		
Convincing colleagues of the worth of S&PA.		
Lack of thanks or recognition.		
Lack of technical know-how of the process of doing it.		
Complying with the rules and regulations of the Institution for introducing a change of this nature.		
Lack of trust by the management on the motives for introducing an element of S&PA.		
Students unsympathetic to try new assessment methods		
Time required to develop and prepare for it.		
Your personal worries about standards.		
The ethical issue of students' grading students.		
Others		

Add Question | Add Page

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49. Which of the following factors best sums up the main drivers/ reasons for you implementing student self/peer assessment.

Please indicate as follows:-
Major driver
Secondary consideration

	Major Driver	Secondary Consideration
To provide variety in assessment		

Student demand for variety in assessment methods		
Institutional demand for variety in assessment methods		
Improve student learning of subject area		
Improve student understanding of assessment process		
Interest in new teaching/assessment ideas		
Research collaboration		
Part of my personal development as a lecturer		
Peer pressure to demonstrate innovative approaches		
Improve job satisfaction		
It would result in less work for me		
It would release time from me to pursue research		
It would encourage student reflection		
Personal interest in education theory		
Other		

Add Question | Add Page

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50. Anything you'd like to add on this topic of student self and peer assessment?

Add Question | Add Page

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51. That's the end of this questionnaire. Thank you for your participation. If you would like to be considered for the prize draw, please include your details in the appropriate box below. I would also like to carry out interviews with a small number of academics who would like to discuss this research further. If you are interested, please let me have your e-mail address for contact in the near future. Your details will be treated confidentially by us and will not be passsed to anyone else.

E-mail address for Prize only :

E-mail address for futher research only:

E-mail address for both:

Add Question | Add Page

Appendix E:

Higher Education Organisational Culture Assessment Instrument Survey

This survey which should only take about 15 minutes to complete, forms part of my Doctoral thesis which aims to explore the influence of Higher Education Culture on innovative assessment practice. The results will only be used by me (Stephen Barr) confidentiality and anonymity of respondents will be respected.

Name (optional)

.....

Sex ...M .....F (circle)

Department/Cognate area (if appropriate) Accountancy .... Management ..... (please √)

Job Title .....

Level/Position .....

Institution Type: Pre 1965 ☐ (please √)

1965- 1992 ☐

Post 1992 ☐

Age band 21-29 ☐ 30-39 ☐ 40-49 ☐ 50-59 ☐ Over 60 ☐

Number of years in your current University less than 5 ☐ 5-15 ☐ More than 15 ☐

What is the organisational level (e.g. centre/department/school/faculty/university) that you most clearly identify with and which you can most usefully be asked question about?

.....

.....

Guidelines for Completion

This brief questionnaire consists of 6 questions only. Each question has four alternatives. Please divide 100 points among these four alternatives depending on the extent to which each alternative is similar to your own University. For example, in question 1, if you think alternative A is very similar to your University, alternative B and C are somewhat similar, and alternative D is hardly similar at all, you may appoint 55 points to A, 20 points each to B and C and 5 points to D. Please ensure that your total equals 100 for each question. Many thanks.

Please also note that you are rating your own University and Department as they are NOW and what your PREFERRED University culture position would be.

Survey of University Culture

		University		Department	
1. Dominant Characteristics		**Now**	**Preferred**	**Now**	**Preferred**
A	**The organisation is a very personal place. It is like an extended family. People seem to share a lot of themselves.**				
B	**The organisation is a very dynamic and entrepreneurial place. People are willing to stick their necks out and take risks.**				
C	**The organisation is very results oriented. A major concern is with getting the job done. People are very competitive and achievement oriented.**				
D	**The organisation is a very controlled and structured place. Formal procedures generally govern what people do.**				
	Total	**100**	**100**	**100**	**100**

		University		Department	
2.	**Organisational Leadership**	**Now**	**Preferred**	**Now**	**Preferred**
A	**The leadership in the organisation is generally considered to exemplify mentoring, facilitating, or nurturing.**				
B	**The leadership in the organisation is generally considered to exemplify entrepreneurship, innovating or risk taking.**				
C	**The leadership in the organisation is generally considered to exemplify a no-**				

	nonsense, aggressive, results-orientated focus.				
D	**The leadership in the organisation is generally considered to exemplify coordinating, organising, or smooth running efficiency.**				
	Total	**100**	**100**	**100**	**100**

		University		**Department**	
3.	**Management of Employees**	**Now**	**Preferred**	**Now**	**Preferred**
A	**The management style in the organisation is characterised by teamwork, consensus and participation.**				
B	**The management style in the organisation is characterised by individual risk-taking, innovation, freedom and uniqueness.**				
C	**The management style in the organisation is characterised by hard-driving competitiveness, high demands, and achievement**				
D	**The management style in the organisation is characterised by security of employment, conformity, predictability and stability in relationships.**				
	Total	**100**	**100**	**100**	**100**

		University		Department	
4.	**Organisation Glue**	Now	Preferred	Now	Preferred
A	**The glue that holds the organisation together is loyalty and mutual trust. Commitment to this organisation runs high.**				
B	**The glue that holds the organisation together is commitment to innovation and development. There is an emphasis on being on the cutting edge.**				
C	**The glue that holds the organisation together is the emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes.**				
D	**The glue that holds the organisation together is formal rules and policies. Maintaining a smooth running organisation is important.**				
	Total	**100**	**100**	**100**	**100**

		University		Department	
5.	**Strategic Emphasis**	Now	Preferred	Now	Preferred
A	**The organisation emphasises human development. High trust, openness, and participation persist.**				
B	**The organisation emphasises acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued.**				

C	**The organisation emphasises competitive actions and achievement. Hitting stretch targets and winning in the marketplace are dominant.**				
D	**The organisation emphasises permanence and stability. Efficiency, control and smooth operations are important.**				
	Total	**100**	**100**	**100**	**100**

		University		Department	
6.	**Criteria of Success**	**Now**	**Preferred**	**Now**	**Preferred**
A	**The organisation defines success on the basis of the development of human resources, teamwork, employee commitment, and concern for people.**				
B	**The organisation defines success on the basis of having the most unique or newest products. It is a product leader and innovator.**				
C	**The organisation defines success on the basis of winning in the marketplace and outpacing the competition. Competitive market leadership is key.**				
D	**The organisation defines success on the basis of efficiency. Dependable delivery, smooth scheduling, and low-cost production are critical.**				
	Total	**100**	**100**	**100**	**100**

Adapted from Cameron, K.S. & Quinn, R.E. (2006) Diagnosing and changing organizational culture : based on the competing values framework. Jossey-Bass.

Appendix F Semi- structured Interview Schedule Pro-forma

Extract from interview checklist (Phase II)

Introduction/Explanation for Research				/
Interviewee Background			1st Degree Cognate area/Subject Higher Degree Professional Career Length of full-time service in Higher Education Percentage of Income from SHEFC	
Interviewee	**Theme**		**Question**	**Nr.**
Representative of University Senior Management	**Priorities and Underlying Culture**		What (in order) are this University's top 3 priorities over the next 5 years?	1
			How would you define the term Organisational Culture within a University context?	2
			Who is the main author of the University Strategic Plan?	3
			Whose Ideology (ies) (assumptions, beliefs, values) is (are) adopted within this document?	4
			Do you feel there is a dominant culture within the University and if so could you describe it? Do separate sub-cultures exist and if so do they complement/contrast/contradict the main culture? Describe the strength of the culture and explain how you conclude this?	5
			If you were to choose an animal to describe the culture within this University, what would it be and why?	6
			What are the top 5 values you place greatest emphasis on within this University and why?	7
			To what extent do you believe that these espoused values will shape the University Culture? In what ways? Where are these values documented for all members to see?	8
			Which policy document(s) would have the greatest impact on demonstrating/promoting the values of this University to it's members)	9
			Do you consider this University to be primarily teaching-led, research-led, both about equal? Other (e.g. entrepreneurial?)	10
			Describe the Dominant Culture Type at your university in both current and preferred situations.	11
			Describe the strength of the culture type.	12
			What are the deep-seated beliefs about:- -The way work should be organised -The way authority should be exercised -The way (mechanisms, criteria) people should	13

			be rewarded -The way people are controlled -What are the degrees of formalisation required? -How much planning and how far ahead? -What combination of obedience/initiative looked for in subordinates? -Do work hours/dress or eccentricities matter? -Are there rules and procedures or only results?	
	Attitudes towards Innovation within Learning, Teaching and Assessment		What do you consider to be the main stimuli/drivers/supporters of L, T & A innovation within your University (Govt policy, competition, professional accrediting bodies,? Is innovation in assessment (e.g. peer assessment for grading) different and if so in what ways? What do you consider are the main inhibitors/obstructions of L, T & A innovation within your University? (RAE, Staff attitudes, student resistance, admin, time required?)	1
			Can you give 3 examples of innovation within L, T & A and indicate stage of maturity (pilot, initial, embedded, phasing out) within each? Are these adaptions? Creations? Adoptions?	2
			What emphasis do you place on the Learning, teaching and assessment strategy and implementation plans.	3
			What measures (reward, promotions, prizes, funding for innovations) have been taken to support/raise the profile of teaching (either innovation or excellence)?	4
			What is the main direction(s) you consider Learning, Teaching and Assessment to be going? (What are the main reasons for each one). What mechanisms have you chosen to support each? (structures, people, funding).	5
	Observation of Artefacts	**Objects**	What do offices look like?	1
			How are people dressed?	2
			Where do they eat lunch?	3
			How would you characterise people on the campus? – formal/informal; laughing or serious?	4
			What kinds of pictures, signs are on the wall?	5
		Verbal Expressions	What language is used? What are the special terms used in your University that only insiders understand?	6
			Tell me the organisation/departmental creation story like:-	7
		Activities	Tell me about rites (capping), Ritual (welcoming party), ceremonies (departmental graduation party)	8
			How do people learn the ropes in areas like	9

			admin? Teaching? Research? Other?	
			What gets noticed and rewarded (T,R,IG,A,M,S)? who do you consider as particularly meaningful persons for this University	10
			Are some people on the "fast tract" and if so how did they get there?	11
			What about taboos–things people should never do?	12
			What kind of people are most likely to achieve promotion quickly in their career?	13
			What regular meetings do you attend? How do people behave during these meetings? Which events are celebrated in this University? What keeps you awake at night? Jargon-What are the special terms used in your University that only insiders understand?	14
			Values – what things (events, rituals) do people very much like to see happening in the University? What's the biggest mistake one can make in the University ? What work problems	15
			Heros – what kind of people are most likely to achieve promotion quickly in their career?	15

Appendix G: Transcript Analysis Thematic Framework

	What strategies required to overcome identified problems?				
			Index Category	Sen Mgt	**Mgt Academics**
	Distinct & reliable set of Cultural dimensions		**Section A - Priorities and Underlying culture**		
1	**Goal Orientation** Process or results	1.1	Top 3 priorities	1) Internationalisation, 2) Re-organisation no third. Dual mission of L&T and R but mission statement being re-written. But see 1.5 below.	
	e.g. Aggressiveness Work centrality Being the BEST Growth/profit Dominance-obedience Outcomes/goals	1.2	Author of the Strategic Plan	Now HoD's as well as deans, VP's, Principal	
		1.3	Whose Ideology		
		1.4	Top 5 values you place		
		1.5	Primarily teaching-led, research-led, both about equal	Dual mission. But note the mission statement places research, scholarship and then learning and teaching as its 3 key priorities and goes on to flesh out who the research will be with. Working with partners to " pursue research at an international level of excellence" http://www.external.stir.ac.uk/documents/profile.pdf. It has established itself as a major 'research-led institution with a fine reputation for teaching"	"Yes. And without investing that money in liberating our time to actually perform the research. So there's some sort of notion that if you invest centrally and direct people more and more and more you're going to get more. It's **a factory philosophy towards research, increasingly"**

		1.6	Are there rules and procedures or only results?		
		1.7	Engagement with 4 key docets (Mission, SB, LTA Strategy, LTA Action plan;	QE provision being revised in light of their institutional review (Ln 62)	Not aware of student PDP (policy) as defined, inspite of it being No.1 on L&T strategy!! (Ln 223-228)
		1.8	Engagement with other docets SSCG, Feedback		
		1.9	Engagement with PDP, VLE, Employability	The VP knows how PDP is supposed to operate – pops up every time you access your e-mail (Ln 552-554). "So the students are like all the other policies in the University the students will be helping us deliver this. So, so in terms of a debate and a discussion about how we, should best involve and engage students in PDP, the students have been at the heart of that" (Ln 560-563).	Not very aware of PDP, HE Academy
		1.10	Risks University assumes		
		1.12	Describe the Dominant Culture Type at your university	"I think there's a number of cultures vying for dominance. But, you know if one was pushed it would still come back to the notion of the close knit, community family, research led, University that, that cares for its students experience".	Small, clannish, community

Appendix H Sample Interview Transcript Extract

SC: Because students would rate each other very highly, I think.

JS: Then how many?

FM: Our experience of it is that the grading by the students is unrealistically high except for the odd occasion where somebody has it in for somebody and you very low... somebody annoys the group let's say, enough for them to react, but nine times out of ten all we will get is eight, or nine out of ten....

JS: There's plenty of research evidence that peer review just doesn't operate, that it can be subverted very easily.

SC: Because a lot of us won't, I wouldn't use it as well, and I do have a group project, and it is one of the things that's often used in the type of group project that I've just described, and that is that I think it undermines the group management, which is what I want the students to learn, I want the students to learn how to get on with each other as groups, you know, and I want them to manage the free-rider problem, if that's going to be an issue. And I think allowing them the opportunity to kind of, you know, assess the contribution of others actually undermines the group dynamic that I'm trying to foster in the first place. So that's...

GH: All of these are about... I mean, any kind of assessment... I mean, I teach psychometric testing, any assessment requires reliability before even validity can start, and I have to say that on lots of different counts, including the things that you've mentioned, but also other things, other aspects, I'm highly doubtful that the reliability is going to be very hot.

SB: It is actually quite high. I've seen the research findings that says as... and this where it looked... so it got me quite interested in it, because I was going to follow it up with who is allowed to mark your students, for example do research students mark your students' work?

JS: They would occasionally mark seminar contribution when they are taking the seminar groups, because they would be the only ones with knowledge of those students' seminar contribution.

SC: But they're not acting as research assistants or research students, they're acting as teaching fellows, or tutors.

JS: Yes.

SB: I know, but they'll be post-graduate students?

JS: Yes.

GH: Well, they'll be PhD students.